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ABSTRACT

Eight papers for the Collections and Services Division of the International Federation of Library Associations and Institutions that were given at the 1992 annual meeting are presented. These papers deal with the acquisition and exchange of library materials, interlending, and serial publications. The following papers are included: (1) "Why Won't You Accept My Order? Global Acquisitions Solutions" (T. Leisner); (2) "South Asian Literature: Acquisition and Processing in West European Libraries" (G. F. Baumann); (3) "The Interlibrary Loan (ILL) Protocol: Progress and Projects" (L. Swain and P. Tallim); (4) "Sci-Tech Libraries: New Approach to Interlibrary Loans" (E. Eronina); (5) "Improving Interlending through Goal Setting and Performance Measurement" (J. Willemse); (6) "OSIRIS, a Microcomputer Based Online Serials Information, Registration and Inquiry System" (S. Santiago); (7) "Serial Publications in India" (P. K. Gupta); and (8) "Basic Serials Management Handbook" (J. Szilvassy). Most papers are followed by references.

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Division: Collections and Services

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Why won't you accept my order? Global acquisitions solutions

by

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Abstract

Why won't you accept my order? Global acquisitions solutions.

Paper outlines and discusses the effect of new publishing technology on distribution and availability of materials for libraries. Covered subjects are Small Presses, "Grey" literature, electronic formats and the future situation for library acquisition.

Why is there so much information, yet it is so hard to acquire certain types of products? Book and serials dealers, agents and wholesalers often seem confused by your requests. Material that is thought to be in print and available cannot be easily acquired from your traditional supplier. Orders for the same material are placed several times with various sources and the item never seems to arrive. Is this the fault of the publisher? The dealer, or the librarian? Or is this the result of a fundamental and structural change in the information industry?

To understand the current situation and make preparations for the future, we must first visit the recent past. Only ten years ago a fundamental and radical change took place in the publishing industry. Manuscripts, which had always been prepared in paper form and then entered into computers for the typesetting and composition in readiness for printing, were now created directly on the computer. The era of desktop publishing had begun with the invention of the Apple MacIntosh Computer and the introduction of laser printers. It was now possible for an author to be also the publisher. The available software would enable the author to create actual page layouts, spell check the document and design its format.
Printing technology improvements followed which enabled the new "self publisher" to economically produce a small quantity of finished books at a cost far below that of a traditional publisher. It is estimated that in the United States, as many as 20,000 of these new

small publishers came into existence in the years 1982,83 and 84. The Small Press Group of Britain lists over 2,000 members. This is a number greater than the total number of publishers that existed in the UK before the advent of desktop publishing.

Prior to the start of desktop publishing, the flow of information about new books and journals was very orderly. Publishers were traditional in their method of promotion, announcement and distribution of new titles. Reviewers received copies and standard library sources carried both reviews and advertisements to inform librarians. Book and serial dealers were made aware of new titles and could arrange to carry stock so that library orders would be filled. Very little imagination was required on the part of the industry in order to sell product or to acquire it for a library.

The new small presses lacked the experience and the money to promote their new books and journals in the traditional method. Reviewers were reluctant to print their comments about books and journals from publishers and authors they had never heard of and librarians were unable to obtain reliable information about these new presses. Yet these new publishers became successful. It is widely believed that the first bound book ever published about AIDS came from a new self publisher in Palo Alto, California (USA). This was in 1982 when little was known about AIDS. Even so, Quality Books (a USA small press supplier to libraries) reportedly sold over 5,000 copies

to USA libraries. More than 50,000 copies in total were sold during the next two years.

Clearly this was not the so called "grey or fugitive" literature that so much has been written about. Still, it was similar to grey literature as far as acquisition librarians were concerned because it was not easily available through their regular supplier. These new publishers were often not listed in directories, their names were unknown and they relocated their growing businesses with an astounding frequency. What was needed was a new distribution service for these beginning publishers. In Great Britain, the Small Press Group Of Britain was founded and in the United States Publishers Marketing Association began in order to provide marketing services for the new presses. Specialized dealers to libraries focused service on the promotion and distribution of small presses. So the industry responded to this structural change in publishing by providing sources for librarians to obtain these new titles. Librarians have been somewhat slower than the industry in their response to these changes. Many still prefer the traditional reviews and known publishers and feel uncomfortable purchasing from lesser known sources. While this is understandable, the large publishers are reducing the number of new titles they produce and the small presses keep growing so that eventually there will be situations where the only source of information on a topic will be a small press. Librarians will need to seek out these specialized distributors of

small and new publishers to consolidate ordering and establish an ongoing business relationship. Otherwise they will be sending large numbers of small orders direct to unresponsive publishers who have little desire to sell single copies to a distant library.

This background brings us to the present time and the conditions in the publishing industry that affect acquisitions librarians. In times of economic recession, which is happening world wide, the pressures on information providers are intense. Each weeks industry news reports yet another old name publisher going out of business. The prices of journals and monographs are still climbing and library budgets are not. Libraries are in a never ending struggle for adequate funding and many are cutting hours and purchases. The supply of new sources of information continues to grow and your customers want even more than you can provide.

The writer of this paper, as he often does, visited the professional library of the American Library Association to research the topic of the paper. The problem of acquiring difficult material is not new to librarians and much has been written on the subject. A C-D-ROM search of a Wilson Data Base revealed such diverse sources of information as New Zealand Libraries, Pakistan Library Bulletin, a Seminar on the Acquisition of Latin American Materials and Government Publications Review (USA). Understanding The Business of Library Acquisitions, published by The American Library Association was

another source of information and it covered the topic of non-traditional formats very well. However, even this fine publication frequently stated that solutions are very difficult for acquiring little known publications or those from government offices. The next step was to interview librarians. From these interviews one answer came up constantly. Ask a librarian. Often times, the information, documents, books or serials you seek have already been acquired by another library in your own community or country. There is a reluctance on the part of many librarians to ask their colleagues for assistance in fulfilling requests unless some formal information sharing system exists. In some cases as much as 50% of the material needed is provided by other libraries, particularly those with specialized collections. National Libraries, Professional Associations and corporate libraries frequently are underused and willing to share their solutions for obtaining unusual kinds of materials.

ELEMENTS OF FUNDAMENTAL CHANGE

Why has acquisitions become so difficult? Why can't the traditional sources of supply fill all acquisition needs? Why is it sometimes easier to obtain needed materials from another library rather than the original source?

Libraries and the entire information industry are in the midst of a structural change in their fundamental business. This change is

as great as it was when the automobile was introduced. Some businesses hung on to the horse with a passion. But the auto carried more people, was faster, more convenient (ultimately) and changed the transportation industry forever. So it is with the information industry. For years customers had to go to the possessor of the information. The library, the publisher, the researcher. The information was only available in controlled form, usually a book, article, paper or journal. Desktop publishing changed that forever as surely as the auto changed the transportation industry. All information has time value. Old time, that is historical value, current time or must know now, and leisure time are some of the ways we can classify time value. Books and journals can provide for two of these categories but not the third.

A NEW CONCEPT IN INFORMATION

We are used to thinking of the book, journal or paper as the product that we are purchasing. However, with the intellectual base now residing in the desktop computer, it becomes the product and every other form of output is simply a by-product. This is important to the acquisition and collection building process. It means that ordering information is now far more complicated and flexible than in the past. The book form of output may be "out of print", never printed or printed on demand. Or you may be able to direct access the data base and just get the answer without actually purchasing any product in the traditional sense. The information can be acquired on

disk, as a document by fax or mail, through E-Mail, or in its entirety. All of these are by-products of the original intellectual property, the data base. This data base can be up-dated at will and all by-products previously produced become dated and the new by-product is current. The implications for libraries are enormous. One of the major costs of libraries has been the storage, access to and management of hard copy information. Money has been invested in larger buildings to store more hard copy and more staff to access the stored materials. This has often meant less money was available to purchase new materials. Many libraries have adopted C-D ROM technology as a way of addressing the storage and access issues. C-D ROMs, however, are more like microforms. They are a by-product which compacts the information and make it more accessible but tie the user to a machine much like a micro film reader. In terms of progress they still require the user of the information to go to the possessor of the information just as in the past. The C-D ROM is also dated as soon as it is produced. It is a by-product of a moving intellectual data base and as such has value mostly for its historical time value, ease of access and lower storage cost. The user can't update C-Ds.

Like the small presses, C-Ds have been ignored by most traditional book dealers. They have been distributed by major serials agents and available direct from the producer. Because the C-D requires constant updates it is more like a journal than a book and serials agents are better able to handle this type of acquisition.

WHAT IS AHEAD?

Globally, libraries vary considerably in their role in the country, funding, locations and usage. In most countries the purchasing power of libraries is a small percentage of the total information volume. In Germany and the United Kingdom it is about 5% of total book sales (turnover). In the U.S.A. the estimate is closer to 15% and in many poorer countries it is less than 1%. Individual libraries have little financial power. In the old system of hard copy only information, many specialized dealers were willing to comply with a libraries complex purchasing requirements. The dealer supplied many of the services that the library needed such as MARC cataloging and processing of the books. This will still be the situation for a portion of the by-products that the library purchases such as traditional books and journals. However, just as with the introduction of the automobile, a whole new industry has been created and the role of libraries must change or they will be left as a barn where horses are kept. Government policy in much of the world is by-passing the library as an important part of the dissemination of information. Large new entrants into the field of information provision are by-passing the library. IBM, national and local telephone companies, cable and satellite TV as well as SONY and their electronic book are going around the library directly to the end user. Tomorrows acquisition librarian will not just work to purchase by-product to be stored on a shelf. Rather the job will be to

evaluate the costs, time value, alternate sources and appropriateness of the selected material to the overall role of the library in information provision. Acquisitions librarians will seek out the new companies entering the information industry and lead the way to change so that libraries can have choices about the form of product or by-product that they purchase. Acquisitions departments will have to examine requirements that vendors meet the standards of the library rather than the standards of a changing industry that is far larger than just libraries. It is possible in most of the world to pick up a telephone and call anywhere. That system enables all of us to communicate with one standard yet seldom do two neighboring libraries have the same standards for acquisitions. This raises the costs for vendors and libraries alike and may be cause for a source of important information to say "I can't accept your order".

GLOSSARY AND DEFINITIONS

C-D ROM A compact disk with a read only capacity which must be used in a special device connected to a computer.

Desktop Publishing Utilizing a personal computer and specialized software to create a manuscript, edit, design, layout the pages, number them and in all ways produce a book ready to go to the printshop.

Self Publisher One who uses desktop technology. Also small press, independent publisher.

Structural Referring to the way in which an industry and its various components interact. Encompasses technology, competition, current suppliers, new entrants, political environment, economic conditions and customers.

IFLA GENERAL CONFERENCE NEW DELHI 1992

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South Asian Literature: Acquisition and Processing in West European Libraries

by

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ABSTRACT

Various universal and specialised libraries in Europe have extensive area collections of South Asian literature. These special collections began as early as the 16th century and although originally mostly classical literature in the form of manuscripts were collected, for the past 100 years mostly printed material has been bought. Today the acquisition profile was been widened to include literature in all of the humanities and indigenous natural sciences and medicine.

In all these institutions discussed here acquisitional policies in recent times have been very similar to each other although the situation at the University Library in Tuebingen tends to be a bit different due to the long and regular financial support this South Asian collection in Germany has had through the auspices of the German Research Society. In general, these acquisition policies are 1) individual purchases: 2) exchange and gifts: 3) legal deposit copies. The first mentioned category can again be subdivided into 1) buying trips: 2) conventional book orders: and 3) blanket-order agreements. A short description of these methods has been given.

Book processing has been discussed, particularly the question of a uniform internationally recognised transliteration system for all South Asian languages. Another important aspect is the need for a names' authority file to be implemented in present and upcoming data-banks. The multi-cultural situation in South Asia demands such a guide which will have to be accompanied by a comprehensive commentary.

A supra-national effort on the part of all of these European libraries is necessary in order to rationalise acquisitions and guarantee that processing can be done with a minimal amount of personnel. The growing balance between new and traditional South Asian studies has to be reflected in the growth of the South Asian collections.

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INTRODUCTION

The geographical term **'South Asia'** used in this paper refers to the Indian Subcontinent and the surrounding islands. It includes the countries of Bangladesh, Bhutan, India, Maldive Islands, Nepal, Pakistan and Sri Lanka. In addition, at the India Office Library (IOL) and the School of Oriental and African Studies (SOAS), both in London, Afghanistan and Burma are also traditionally included in the region of South Asia due to colonial administrative boundaries in the past. At the University Library in Tuebingen Tibet up to the loss of its autonomy in the 1950's is also included in that special area collection on South Asia.

In spite of the seemingly numerous cultural strata today within this region there is a strong overlapping common cultural 'blanket' giving these countries a certain homogeneity. Its long oral and written literary history covering more than 2,500 years is comparable to similarly long cultural developments in the Middle East and in China. South Asia is also the birthplace of two great Oriental cultures, the Hindu and the Buddhist, and has been for many centuries the home of a third, Islam.

During the literary movement in Europe at the end of the 18th century called the Romantic Period there was a great fascination with Indian culture upon discovering that there was a common, if distant, linguistical connection between Sanskrit and European languages. These linguistical studies, along with research in Hinduism, particularly Vedism, and later in Buddhism, became known as **indology**. This term has become synonymous with classical Indian studies which have dominated research on South Asian topics throughout Europe until recently. In Great Britain there always has been a more pragmatic approach to such studies since the colonial administration had to be trained in every-day affairs and instruction in the vernaculars began much earlier. In Germany and France, however, there was more emphasis on research in historical linguistics and comparative religion. Until the middle of the 19th century very few printed texts were available in Europe, most literary sources being manuscripts lying in Paris or London. In fact, Professor Rudolf von Roth (1821-1895), who held the first chair for Sanskrit established in 1854 at the University of Tuebingen, had to travel to London

and Paris to copy manuscripts to collect material for his famous Sanskrit-German dictionary, published from 1852 to 1875, and completed in co-operation with Professor Otto Boehtlingk (1815-1904) in St. Petersburg.

After most coutries in South Asia had achieved independence towards the middle of this century there has been a noticeable change in the emphasis of South Asian research in Europe. Today, of course, research on classical subjects like Sanskrit, Pali and Prakrit, is still dominant, particularly in Germany, but a growing emphasis on sociological, economical and political questions can be discerned. Indigenous medicine, e.g. Ayurveda, is becoming a very important field of research, too. Usually these so-called modern studies are not offered in the classical indological institutes, but rather in the various faculties or institutes at the respective universities where, sometimes just for a limited period, doctorate and other advanced research on South Asian topics is done. For some aspects of modern South Asian studies even specialized institutes have been founded, e. g. the Südasien-Institut (SAI) in Heidelberg, or the various institutes in Paris and, of course, the School of Oriental and African Studies in London.

An enumeration of the main libraries in Europe having important holdings of South Asian literature should include the following institutions, but this list is by no means exhaustive. They are: in Great Britain - the India Office Library (IOL) of the British Library, the Library of the School of Oriental and African Studies (SOAS), both in London; in France - the Bibliothèque Nationale, the Bibliothèque de l'Institut de Civilisation Indienne, the Bibliothèque de la Centre d'Etudes de l'Inde et de l'Asie du Sud, the Bibliothèque de l'Ecole des langues Orientales, all in Paris; in the Netherlands - the Bibliothek of the Kern-Instituut, Leiden; in Italy - the Biblioteca Apostolica Vaticana, Rome; in Germany - the Südasien-Institut (SAI), Heidelberg, and in Tuebingen, the Universitätsbibliothek. Most of these libraries are government supported and most maintain general Oriental collections, of which literature concerning South Asian is only one major aspect.

Several of these libraries mentioned here have a very long history, beginning with the European voyages of discovery in the 16th century. Due to the ever-pervading presence of the East India Company from the 17th to the early 19th century, whose motives were predominately commercial, little or no effort was made in Great Britain to officially collect literature from the region. However various employees of the Company had gathered literature privately and had

taken it back to Great Britain upon retirement. Gradually it became obvious that these specialized collections needed a common home, as their owners or the inheritors of the original owners later began to offer these legacies to the East India Company for preservation. The necessity of a national repository for such material became obvious. Therefore the **India Office Library** was established in 1827, mostly through the efforts of Charles Wilkins (1749?-1838). Soon after its establishment several important donations and war trophies like the Tipoo Sultan's library were added. This library and even earlier, the **Bibliothèque Nationale** in Paris employed agents, who were already residing in South Asia, to purchase books and manuscripts for them. The Bibliothèque Nationale even employed various well-known Englishmen living in India to supply it with literature. Professor Roth, in Tuebingen, requested the English colonial authorities in Kashmir to search for a possible different version of the Atharvaveda and in 1874 they were able to trace the so-called Paippalada version, written on birch-leaf. It is now one of the rare manuscripts in the Tuebinger collection.

The **University Library in Tuebingen** is not just a special area collection library but rather a universal library, collecting literature in all subjects. Its Oriental collection, or more specifically, the South Asian collection is only a part of its total collection of more than 2,000,000 volumes, the special Oriental collection on South Asia containing about 200,000 volumes. This library is financed by the State of Baden-Wuerttemberg, in which it is situated, but the greater portion of the budget for the Oriental special collections is given by the German Research Society in Bonn, a body financed in part by the Federal Government. This special area collection in Tuebingen is part of an extensive nation-wide programme to collect foreign academic literature. The **German Research Society** began its activities in the 1920's and various types of libraries - 16 university libraries, 2 State libraries and 2 specialised libraries - presently participate in its special subject and area collections' programme. This idea of a national programme for special area and subject collections in existing libraries has also gained supporters during the past decade in Great Britain and France, where similar nation-wide programmes are being developed. Each participating library in Germany agrees to use the special funds provided by the German Research Society and the local State government to collect foreign academic literature (i.e., literature published outside of Germany) on a wider scale than an academic library would normally do. This responsibility also requires the respective library to make its collection known to potential users, be it through the publication of accession

lists, publication of library catalogues, etc. Such accession lists are published by the IOL and the SOAS and the University Library in Tuebingen, all having an international distribution.

The idea of a national programme for special subject and area collections has been taken up and implemented in France and Great Britain also.

The **Südasien-Institut (South Asia Institute)** in Heidelberg was established in 1962 as an inter-disciplinary institute concentrating its research on South Asia. Its library has grown very rapidly during the past 30 years and now contains approximately 200,000 volumes, mainly recent literature on South Asian studies. Apart from some antiquarian purchases and various legacies it does not have the historical holdings of the 19th and early 20th centuries as the older libraries in Europe have.

The **Biblioteca Apostolica Vaticana in Rome** was a very important centre for collecting manuscripts in the early period, mostly during the 16th and 17th centuries. In the 15th century Pope Nicolas V (Tommaso Parentucelli, 1447-1455) had his emissaries search in the Orient for important manuscripts for this library. With the help of Catholic missionaries, particularly the Jesuits, during the next three centuries it probably had the best stocked library in Europe and its Oriental material, mostly manuscripts, is of great importance, even today.

The **Kern-Instituut in Leiden, the Netherlands**, was founded in 1926 and named in honour of the first professor of Sanskrit in that country, Hendrik Kern (1833-1917). For many years, from 1926 to 1984 it published the well-known 'Annual Bibliography of Indian Archaelogy'. This publication was the basis for an active international exchange programme over the years adding valuable works to this library. It now contains approximately 30,000 volumes and the former South Asian holdings of the University in Utrecht are soon to be assimilated into this collection, increasing its value considerably.

Some of these libraries have produced alphabetical catalogues of some or all of their holdings, and in the case of the SOAS and the IOL, we also have subject catalogues.

ACQUISITIONS POLICIES

Book production in South Asia varies in intensity from country to country. On the one hand India ranks about 8th in world publishing and even 3rd if we only consider English-language publications, closely following the United States and Great Britain. Its book trade is highly organized and efficient. In the context of the multilingual situation in India the individual linguistic regions have also developed extensive book publishing industries. Countries like Sri Lanka and Pakistan have growing publishing industries but as a rule they are not as well organised and fiscal red-tape makes exporting a rather tedious affair. In Nepal and Bangladesh the book trade is mostly concentrated in the respective capitals, Kathmandu and Dhaka, although some publishing is done in outlying areas. Bhutan and the Maldive Islands have as yet practically no book trade to speak of, although a few government offices produce some relevant literature.

In spite of the proverbial high illiteracy rate in South Asia the absolute number of literates, particularly in India, is greater than in Europe. Therefore the demand for literature in the local market is very intensive, leading to a high production rate. In India we can assume that approximately 12,000 to 15,000 new titles of academic interest are published each year. The annual book production in Pakistan and Sri Lanka is approximately 1,000-2,000 relevant titles and in Nepal and Bangladesh between 500-1,000 relevant titles annually.

Acquisitional policies can be divided into three basic categories: 1) individual purchases, both for manuscripts in the earliest period as well as for current purchases of antiquaria and contemporary literature; 2) exchange and gifts; and 3) legal deposit copies. The first-mentioned form - individual purchases - can be further sub-divided into the following categories: 1) buying trips; 2) conventional book orders; and 3) blanket-order agreements.

The earliest acquisitions were, of course, mainly manuscripts as there was no printing in the subcontinent until Portugal set up the first printing press in about 1556. Whereas mostly classical literature was collected up to the middle of the 20th century, during the past 50 years there has been a noticeable increase in the acquisition of modern South Asian literary texts and

contemporary subjects in the humanities and the social sciences. Interest in indigenous medicine is growing rapidly.

The growth of the South Asian collections was, however, by no means always systematical. During the two centuries, from 1600 to 1800, growth of South Asian literature collections was haphazard and relatively slow in all Western European libraries. Since there was hardly any commercial book trade in South Asia the Europeans had to rely on emissaries for purchasing manuscripts and lithographed works.

In the 18th century the King of France, Louis XIV, sent out emissaries to collect manuscripts and printed books for his Royal Library, which later became the basis for the Bibliothèque Nationale. These **buying trips** might seem similar to our present-day buying trips. However, in earlier times the lack of an organised book-trade meant that the searchers had to rely on chance and guidance from local officials and on accidental discovery. The French also used the auspices of the Compagnie de Jésus (Jesuits) and the Compagnie des Indes Orientales founded by Jean Baptiste Colbert (1619-1683) in 1664. Because of the interest shown by Abbott Bignon who had become librarian of the Royal Library in 1718, acquisitional efforts gained momentum.

Contemporary buying trips have to be seen in the light of unsatisfactory conventional bookseller relationships, or for the purpose of purchasing antiquaria. Experience shows that buying antiquaria on the basis of printed catalogues from South Asia can be a delicate matter. The condition of the books is usually not sufficiently described and many times the actual condition is so bad that the book can no longer be used. The only alternative then is to have a film made of the original book and dispose of the original. The average South Asian bookseller also has little sensitivity to the problem of authors' names when he puts his catalogue together. Hence a certain amount of experience on the part of the European academic librarian is necessary in order to judge the correct main entry for a particular name in the European library catalogue. For these reasons selection of antiquaria should be made on the spot, i.e. through autopsy. Due to the poorly organised book trade in other parts of South Asia, outside of India, acquiring titles from such areas through the local book trade can prove to be unsatisfactory. Therefore during such buying trips one should also try to locate publications which have escaped one's attention previously. This presupposes a good knowledge of one's own stock, of course, and also awareness of unfulfilled

requests from researchers in the past. One must also be constantly on the look-out for more efficient booksellers. A personal visit and detailed discussions of the needs and methods of acquisition prove to be very important in South Asia.

Contemporary **conventional book-ordering** should be familiar to everyone, although book-ordering can be done in two different ways - through local agents where the library is situated or directly with booksellers in South Asia. The former possibility, however, is likely to be impractical as the multi-lingual literature and the numerous scripts can not be handled by the average European bookseller who has liitle or no knowledge of Oriental literature. The more specialized a collection is the greater the necessity to have direct contact with reliable booksellers in the region. In those South Asian countries where the book trade is well organized there is certainly no need to depend on local European booksellers. Booksellers in Great Britain, particularly in London, do have an advantage over booksellers on the Continent as they can more easily communicate in English concerning reclamations, etc. and can rely on the assistance of many emigrants from South Asia, if there be need to. My long experience, however, shows that a direct relationship with booksellers in the region is more beneficial for both sides.

Today we have to depend on the local booksellers in South Asia and a library having a special subject collection will find it necessary to engage more than just one book supplier. The multi-lingual situation, particularly in India, generally demands three or four different booksellers, distributed throughout the different linguistical areas - at least one in East India for Bengali and Oriya and other northeastern languages and literatures, one in Delhi for English-language publications, Hindi, Panjabi and other north Indian vernaculars. In West India there will be need of a supplier for Marathi and Gujarati, and finally one or two in South India for the four Dravidian languages and literatures.

Turning now to the practical side of ordering there are, as a rule, order-forms for individual book-orders. The ordering process is not yet computerised in Europe. One copy or more of the conventional order-forms are sent to the respective bookseller who returns one copy with the relevant book. The bibliographical data on the order-forms will, as a rule, be in transliterated into the Roman alphabet, either because the bibliographical

source was already transliterated or because the ordering library has transliterated the relevant data since typewriters for most South Asian scripts are a rarity and proper personnel in Europe to operate them is also scarce. If, in turn, the bookseller in South Asia submits his invoices in one of the regional scripts and languages then there shall have to be experts in the recipient library who can transliterate such invoices. In the larger European cities where most of the above-mentioned libraries are located there are many times well-trained South Asians who can be employed for many of the routine needs of such a specialised library. Otherwise the academic librarian in these specialised area or subject collections have to become involved in such daily routine processes which is very counter-productive to building up such collections.

The third type of conventional book ordering is the so-called **blanket-order agreements** with very specific profiles. Such agreements have existed at the India Office Library and still exist at the Universitaetsbibliothek in Tuebingen. In the latter library we have a continuous experience with this acquisitional method for the past 15 years. This arrangement is usually justifiable only when the budget allows for extensive collecting. As we all know the stock of most libraries reflects the fluctuations of budgetary reality. In order for such an agreement to be successful, however, a library must have previous long-standing experience with a particular bookseller and be convinced of his reliability. In the case of Tuebingen the agreement covers only English and Sanskrit-language publications of the last three consecutive years. The library must create a very exact profile of its literature needs, both in regard to subject as well as to formal literature categories, e.g. the question whether printed dissertations, periodicals, ephemeral literature, etc. are to be included. Such literature profiles need regular revision due to possible financial restrictions or increases. The possibility to reject literature must be included in any such agreement as experience shows that there will be many border-line cases, where, in spite of a detailed profile, the booksellers will still be in doubt. In Tuebingen we have, in fact, agreed to have the bibliographical data of such doubtful cases sent to us so that we can take a decision before the literature is mailed. This data is sent on our own blank order-forms, which we supply to our bookseller regularly.

Gifts and exchanges played a very important role in building up the collections in the older institutions discussed here. We have already mentioned the legacies which led to the establishment of the IOL in the early 19th century. Private bequests were received, e.g. from Henry Colebrooke (1765-1837), the Maharaja of Baroda, Sayajirao III (1864-1939), the William Jones Collection and the Georg Buehler (1837-1898) legacy. Various donations increased the number of books considerably during the late 19th century at the Bibliothèque Nationale in Paris. Through the efforts of the well-known librarian, Charles Schefer (1820-1898), the library of the present Ecole des langues orientales grew rapidly and contained approximately 50,000 volumes by 1883. 'Cette collection de livres orientaux est unique au monde et accessible à tous les savants.' (Meuret, p. 403). 'Enrichie principalement par les largesses des gouvernments étranger, par les échanges internationaux et les heureux hasards des ventes publiques...' (Meuret, p. 403).

Many European countries created **legal depository laws** for literature published in their own countries or even in their colonial territories. In Great Britain the Indian Press and Registration of Books Act (Act XXV of 1867), paragraphs 9 to 11, stated that one copy of every printed or lithographed book issued in India was required to be forwarded to the Secretary of State for India. The IOL became in consequence vested with the nature of a copyright library for Indian publications. In 1877 at Reinhold Rost's (1822-1896) insistence, who was the librarian at IOL, a new procedure was sanctioned whereby only a selection of such copyright literature was ordered to be transmitted, such a selection being made at the Librarian's discretion. For facilitating this process, quarterly catalogues were issued and continued to be issued by the various provincial governments, listing all publications which may appear in each respective province during the relevant three months. Act XXV was later amended in many particulars. France had already created a **dépot légal** in 1537, which covered works published in its colonies also. It, too, was modified in 1943. Multiple copies, no matter how they had come about, were often used for exchange or gift purposes amongst the libraries of Europe. Professor Roth in Tübingen meticulously recorded such gifts in his yearly reports during the middle of the 19th century.

In all the libraries discussed here there has been a widening of the literature scope in the 19th century in all fields of study except the natural sciences, technology and modern law. Indigeneous medicine and sciences have always been included as a rule.

BOOK PROCESSING

Over the past centuries since these collections were established normal access to each collection has been through the usual alphabetical card catalogue or book catalogue. Some catalogues in recent years have been printed also. I need not go into detail about such conventional catalogues as all of you are most likely familiar with these type. As a rule there are only alphabetical author-catalogues, subject catalogues usually being less common and of more recent date.

Although in some libraries alphabetical catalogues in the original Oriental scripts are in use, it is generally the rule that these scripts are transliterated for cataloguing purposes. The history of the **transliteration** systems shows variations, but as a rule in Europe and North American a common system of transliteration for South Asian languages is used among academic libraries. There has always been a tendency to transcribe and not to transliterate in academic circles, thereby bringing phonological and phonetical influences into the system. Since the middle of this century, however, there has been a growing attempt to unify all European systems into an internationally recognized system. Due to the growing importance of interchangeability of electronic data the urgency of an international standard is obvious. The use of the original Oriental script in the library catalogues presupposes that sufficient staff is available to process such material. Cataloguing data in transliterated form, however, can be handled by all staff members.

Firstly, the question of transliteration of the original Oriental sources is of upmost importance from the very beginning of the processing activities. If the book offers are in South Asian scripts then this information has to be transliterated for internal processing in the library. Secondly, as one copy of the order-form will be entered into an order-file there has also to be uniformity of the author's name. Thirdly, ordering activities are still done conventionally and not with computers. A very important step for such special area or subject collections is to be able to offer the bibliographical data of such ordered works on-line to library users. If such information is available

on-line then the potential borrower will know that that particular book will soon be available. He could then enter his name on a waiting list.

As a rule the bookseller in South Asia will submit his invoices in Roman script, so the employees of the accessions department are able to process these without any outside help. If, however, invoices should be submitted in South Asian scripts then those academic librarians having knowledge of that particular script will have to assist the accessions department. Sanskrit books, a part of the South Asian collection in Tuebingen selected by blanket-order, are generally sent in transliterated form, done by the bookseller himself. This accommodation by the bookseller is of immense benefit for a library having limited qualified academic personnel.

The cataloguing of literature in South Asian scripts has to be prepared by the academically trained librarian in such a manner that this data can be entered into the data-bank by a trained cataloguer in the cataloguing department, who then determines the formal cataloguing.

Extensive data banks have grown up in England, France and Germany during the past decade. Compatability of data is still an unsolved problem, not just internationally, but even within individual European countries, including Germany. Each book added to a collection needs to be catalogued within the respective data-bank only once. The various participants in the data bank, each of whom benefits from this co-operative cataloguing, can make suggestions to correct existing data. An interesting aspect of the data-bank for the academic libraries of my region, the State of Baden-Wuerttemberg, in the Southwest of Germany, is a names' authority file. Any one familiar with South Asian names knows how complicated a matter this is. Due to the numerous alphabets used for the innumerable languages of this region and the fact that an author may write in as many as three of these regional languages, libraries are confronted with different forms of the name of the same person in its transliterated form. We all know how important it is to make catalogue entries only under a single form of the author's name, using cross-references for all other known forms. This names' authority file can only function well, of course, if there is a central co-ordinating office having a good knowledge of name-giving in South Asia. What is urgently needed is a guide to name-giving in South Asian cultures with a detailed commentary. This task is a very difficult one and there will be innumerable exceptions to any rules as the use of one's name is certainly a personal right and can not

always be defined in terms of a rigid rule. The experience gained in large collections is a good teacher. Various incompatible data-banks also exist even in a comparatively small geographical region like Paris. Tübingen has been cataloguing into its regional data- bank since 1986, which is not yet compatible with other data-banks in Germany either.

We have cursorily described here the two most important aspects when cataloguing South Asian literature. These are: 1) an internationally accepted transliteration system for all South Asian languages; 2) acceptable rules for defining the main name entry for the alphabetical catalogue. Cataloguing of vernacular language material will, as a rule, have to be done by academically trained South Asian experts. These experts in the specialised libraries will, of course, set standards for other libraries having only limited material of this sort and not having academically trained personnel for Oriental literature. The cataloguing of European language literature is less difficult, although even here the standarisation of name entries is very important. As a rule in Tuebingen with its large collection of almost 200,000 volumes the form of the author's name chosen for the main entry is that which he uses most. This may mean that he predominately writes in English. This form will be the main entry form and the transliterated form gained from any other South Asian language he may use will be entered as a cross-reference. The data-bank in which Tuebingen participates allows for easy change of the main entry form, if this should be necessary. Each author has an identity number and the computer automatically makes the correction for all entries under this identity number. This data-bank also has a cooperate-body authority file. This is one of the most difficult cataloguing questions for South Asia where we have numerous cooperate bodies and languages. In which language should the main entry for the cooperate body be made? Even the question whether a cooperate body is involved or not is not always easy to decide.

In recent years a new medium of publishing, **microform**, has been increasingly put on the market. Although some specific cataloguing rules have been developed this type of document still has no internationally recognised standard for cataloguing. In many cases the institutions mentioned here have to protect their older material because of deterioration and can only offer the researcher a microfilm or microfiche copy. Due to the condition of antiquaria in South Asia the question of making microfilm facilities in South Asia available is gaining in importance. The long journey to Europe in many cases would damage delicate antiquaria to such an extent, that it is only sensible to

reproduce them in advance in microform on the spot. This medium could then be sent to the requesting library in Europe. The Library of Congress Office in Delhi has been doing this for a number of years now.

CONCLUSION

Many of you may be familiar with the acquisition activities of the Library of Congress in Washington, D.C. and its office in New Delhi. The aim of this programme is to procure South Asian literature for interested academic libraries in the United States. The literature is bought, catalogued and forwarded to the individual participating libraries in the USA. When we consider the increasing difficulties we have in Europe to find qualified personnel and to have sufficient personnel at all, we, too, in these times of a fascinating political development in Europe should seriously consider, either participating in this LOC-programme, if this is possible for non-American academic libraries, or even better, establish a common European procuring office in South Asia to supply interested academic libraries in Europe with the desired South Asian literature. Each library would be be responsible for the formulation of its own literature profile. The cataloguing data could be delivered in the form of magnetic tapes or discettes. The recipient libraries would then only have to integrate the data into its own data-bank and after having given each book its individual call-number add the book to its stock. I estimate that there would be at least 20 such libraries in Europe which would be interested in such a processing centre in South Asia. It is time we give serious consideration to such possible rationalisation methods.

When one studies such wide-spread special collections one cannot overlook the fact that co-ordinated international efforts are necessary to make this material uniformily available. Although acquisitions may in many cases be duplication still there is a great amount of material available only in one particular library collection. Through documentation of these collections the researcher will have quick access to them and know where special collections are located.

Our ability to keep our special subject collections alive, vital and relevant, to keep them in the new discouse of teaching and research, to integrate them into larger contexts wherever possible will be the key to our successes. The relative costs and benefits of building and maintaining special collections in

times of dwindling resources are very much a part of our scenario and closely related to matters of management and organisational culture.

The management culture of the 90's - with us already - values speed, flexibility, opportunism, entrepreneurship. This is the culture of high technology. Therefore we should look to co-operative collection development and management programmes for South Asian literature.

There can be no doubt that the role of South Asia in world research will grow. Its population is immense, its economic development of great importance. The European Common Market has begun to realize the importance of this region and seems to believe that co-operation in its development will benefit both the region and Europe.

Our academic institutions dealing with South Asia must however try to keep a balance between new and traditional studies. A true understanding of the contemporary situation can only be obtained through a thorough knowledge of the past.

These remarks have been primarily from the standpoint of research in Europe, but our colleagues in South Asia should strengthen their efforts to preserve and enlarge their own collections. Many weaker cultural areas of the region will surely disappear in this modernizing age and without any contemporary documentation these cultures will be inevitably lost to posterity. After independence there have been traditional relationships between the former English colonies of South Asia and England, mainly due to the common English language, but it certainly will be a duty in the future of all members of the European Community to train librarians and support efforts to develop publishing, the book trade and librarianship throughout the region.

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IFLA GENERAL CONFERENCE NEW DELHI 1992

Division: COLLECTIONS AND SERVICES

Section/RT: Serial Publications

Joint Meeting with:

WORKSHOP THEME (IF APPLICABLE):

059-INTL-1-E

The Interlibrary Loan (ILL) Protocol: Progress and Projects

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Ottawa, CANADA

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1

The Interlibrary Loan (ILL) Protocol: Progress and Projects.

Leigh Swain and Paula Tallim

Abstract

The ILL protocol is a communications standard which permits the exchange of ILL messages between bibliographic institutions that use different computers, systems and communication services. Approved as an International Standard in 1991 (ISO 10160/10161), efforts are currently underway to develop and implement protocol-based software products and systems in order to realize the benefits of standardized ILL communications.

The focus of this paper is to provide a general non-technical description of the protocol and outline efforts underway to implement the ILL protocol in an ILL service environment. Projects underway which center on the use of the ILL protocol in an international lending environment will also be described.

In recent years, the number of books and periodicals exchanged through interlibrary loan has increased remarkably as libraries turn to resource sharing to help satisfy the needs of their clientele. The use of computers and telecommunications networks to support ILL services has also seen a marked increase. However, the proliferation of different computer systems and networks has made the automated exchange of ILL messages very complex such that a standard communications protocol to support the exchange and tracking of ILL messages was required.

The National Library of Canada recognized the need for such a standard in the early 1980's and began working closely with libraries and technical experts to define a protocol for interlibrary loan (ILL protocol). After years of consultation and review, the ILL protocol was approved in 1991 as an International Standard (ISO 10160/10161) by the International Organization for Standardization.[1]

The focus of this paper is to provide a general non-technical description of the protocol and outline efforts underway to implement the ILL protocol in an ILL service environment. Projects underway which center on the use of the ILL protocol in an international lending environment will also be described.

The ILL protocol is based on the Open Systems Interconnection (OSI) Reference Model[2]. Standards developed using this conceptual framework make it possible for computers and networks to operate with each other in a multivendor environment. The ILL protocol is one of several standards developed that will enable effective telecommunications among different computers and systems for library applications. The U.S. Library of Congress has developed an OSI-based protocol for information retrieval, termed Search and Retrieve which was also adopted as an international Standard in 1991 (ISO 10162/10163).[3] Libraries are also using a number of the OSI-

based protocols developed for generic applications to support their operations. Examples include the X.400 standard for message handling systems used to support the ILL services and the File Transfer and Access Management (FTAM) protocol used to transfer large files for the cataloguing function.

The ILL Protocol

By defining a standard for computer communications, the ILL protocol permits the exchange of ILL messages between bibliographic institutions that use different computers, systems and communication services. ILL systems that incorporate the ILL protocol can communicate with each other in a standard messaging format even when their ILL systems operate on different computer configurations. As the only common feature of these systems is the protocol module, libraries do not have to sacrifice local processing and operational requirements in order to exchange information.

The ILL protocol formally standardizes four aspects of ILL communications:

1. The number and type of messages exchanged in an ILL transaction.
2. The data elements contained within these messages.
3. The correct sequence for the communication of protocol messages.
4. The transfer syntax.[4]

The use of the ILL protocol enables an operator to record in a consistent and structured manner the various stages of an ILL transaction, for example, recording the fact that an item has been requested, received and then returned. The protocol does not introduce new processes but merely formalizes activities that were previously handled by manual means.

How the ILL Protocol Works

The activities supported by the ILL protocol are represented in the protocol as "services". These services represent actions that normally take place in ILL transactions. For example, the protocol services provided for the requesting library include: request to borrow (ILL-REQUEST), indications of receipt and return of the borrowed item (RECEIVED, RETURNED), request for renewal (RENEW), notification that the item is lost (LOST), cancellation of the request (CANCEL), etc. These activities are recorded in the local ILL system instead rather than by a manual process. Therefore, each step of the ILL request is stored in a computerized database.

An ILL request and all subsequent activities relating to it constitute an ILL transaction. Within a transaction each processing stage is identified by a transaction state. For example, when a request is sent, the state of the transaction for the requesting library is PENDING, when the request is received by the potential lending library the state of the transaction for that library is IN-PROCESS.

Standardization

The group within the International Organization for Standardization (ISO) responsible for the ILL protocol is ISO Technical Committee 46, Subcommittee 4, Working Group 4 (TC46/SC4/WG4) which has overall responsibility for standards relating to the format and structure of bibliographic information interchanged in machine-readable format. The international standardization of the protocol was a lengthy process requiring consensus from a wide range of organizations representing numerous national standards bodies and interest groups. Additions and enhancements were added to the ILL protocol to meet

numerous national lending requirements and service environments. The ILL protocol has evolved to one which is very flexible, rich in features and internationally applicable.

Protocol Support Activities

Libraries and vendors in both North America and Europe are proceeding with the development and implementation of systems that support the ILL protocol. While a great deal of effort was required to develop and standardize the ILL protocol, further organization and effort is underway to implement and use the protocol within the international library environment.

A variety of programs have been put in place to facilitate and coordinate the use of the protocol. These range from technical activities such as conformance testing to planning activities such as identifying resource sharing partners.

The real benefits of the ILL protocol will not materialize until protocol-based software products and systems are widely available and used. Libraries, however, are hesitant to spend scarce resources on unfamiliar technology. Similarly, software developers are hesitant to develop products for an uncertain market. The National Library of Canada, which carried out much of the work to develop and standardize the ILL protocol is actively engaged in a number of parallel support activities. In 1987, the ILL Protocol Implementation Program was launched to encourage software developers and the bibliographic community to adopt the protocol and incorporate it into ILL systems.[5]

The installation and use of these systems in libraries will significantly contribute to realizing the benefits of protocol-based messaging and improving access to library resources. As well, the National Library has developed a protocol-based ILL system for its own use. A preliminary version has been in operation since April 1987 and was recently upgraded to conform to the ISO version of the protocol.

recently upgraded to ...

Canadian efforts to ensure the availability of products are primarily limited to the Canadian library environment. Other countries or national groups will have to determine the appropriate strategies for encouraging the implementation of the ILL protocol within their own countries.

Bridging Mechanisms

As with the introduction of any new standard or technology, it will be several years before the protocol is widely used and the critical mass of user libraries established to create a standardized protocol messaging environment. While some libraries will immediately acquire new ILL protocol systems, other libraries will choose to use their computers to partially automated ILL and/or merely to format messages off-line according to the format required by recipient libraries. This mixed environment can result in serious barriers to efficient ILL communications.

A number of bridging mechanisms based on the protocol were developed to allow ILL communications between the National Library of Canada and non-protocol based systems during the transition period before ILL-protocol is widely used.

For example, a set of standard electronic mail messages (scripts) have been mounted on the public electronic mail system (ENVOY 100) used by many Canadian libraries. These scripts structure the ILL data to conform to the ILL protocol and allow libraries that do not have ILL protocol-based systems to communicate with libraries that do use such systems. Transparent to the user, the scripts also add the required encoding syntax to the message thus permitting libraries to send messages to ILL protocol systems in a machine processable format.[6]

In addition, the ILL systems developed through the ILL Protocol Implementation program are required to generate, along with the messages in machine-processable format, "eye-readable" messages which can interpreted and processed by non-protocol sites.

Protocol Testing

An essential component in the successful promotion and adoption of the ILL protocol is protocol conformance testing Each LL system developed in Canada will be tested for conformance to the ILL protocol and its ability to interwork with other ILL protocol-based systems before it is released into the marketplace.

Conformance testing is the systematic test of a product's conformance to a particular OSI protocol and is essential in order to increase the probability that different implementations of the same protocol are able to interwork. There are two major areas of conformance testing activities: the development of test suites, and the testing of implementations.

A test suite is a collection of test cases or message exchanges covering nearly all possible implementations of a protocol. It is used with a conformance test system to evaluate how accurately an implementation of a protocol meets the requirements of that protocol.

The National Library of Canada has developed a test suite for the ILL protocol which will be submitted to ISO for standardization. The test suite and an ILL test system developed by the National Library is being used to test the implementations of the ISO ILL protocol developed by the contractors in the ILL Protocol Implementation Program.

The National Library plans to make its test software available to the international bibliographic community to aid other institutions in developing their own test centres.[7]

Conformance testing, no matter how rigorous, does not provide fail-safe assurance that a given protocol implementation will interwork with other implementations, despite their both having successfully undergone testing. Conformance testing primarily determines the conformance of an implementation to a standard. Another type of testing - interoperability testing - determines the ability of implementations to interwork in an operational environment. Interoperability testing defines a set of tests which are executed between two or more implementations of the same protocol thereby ensuring that real systems interworking or interoperability will be attained in operational use.

The National Library is currently evaluating, in conjunction with protocol implementors, the requirements of interoperability testing and will conduct interoperability tests of the implementors' ILL products. With systems undergoing both conformance and interoperability testing, libraries can be confident that these systems will in fact be able to communicate and exchange messages successfully.

International ILL Protocol Activities

The ILL protocol has generated considerable support and interest in North America and Europe and is currently the focus of a number of projects.

The Interlibrary Loan Access Demonstration (ILIAD) Project

The Universal Dataflow and Telecommunications (UDT) Core Programme completed in May 1989, a study which indicated the feasibility of a joint pilot project between the National Library of Canada and the British Library

Document Supply Centre (BLDSC) to examine the use of the ILL protocol for the international exchange of ILL messages. The planning phase of a pilot project is now underway, with the U.S. Library of Congress added as a participant. A decision on whether to proceed with the implementation phase of the ILIAD project is expected in May 1992.

Project ION

A similar project involving the London and South Eastern Library Region in the United Kingdom (LASER), Pica Centrum voor bibliotheek automatisering in The Netherlands (Pica) and Ministère de l'Education Nationale, Direction de la Programmation et du Developement Universitaire, Sous-Direction Des Bibliothèques (SBD/SUNIST) in France has reached the implementation phase. Termed the "Project ION - the OSI pilot/demonstration project between library services in Europe for interlending services.", this three year project was initiated in early 1990 and is co-financed by the participants and the Commission of the European Communities (DG XII B).

The project is being carried out in three phases, a specification phase to map out technical and service requirements, an implementation phase to establish operational protocol-based systems in each of the three countries and the final phase which involves the use and evaluation of the system by forty-six libraries in the United Kingdom, The Netherlands and France. Phase 1 was completed in October 1990, implementation is well underway and Phase 3 is to begin by 4th quarter 1992.

The major objectives of the project are:1) achieve interconnection between the three computerized library networks in each country in order to support and

develop international interlending and messaging services, 2) improve the efficiency of international interlending services and 3) demonstrate the capabilities of OSI communication protocols in a message-oriented environment.

The operational systems being developed as part of this project involve the use of OSI-based protocols other than ILL. LASER and Pica are using the Search and Retrieve protocol standard to support the search of the union catalogues to determine item locations, and the X.400 message handling standard to support ILL messaging.

International Forum on Open Bibliographic Systems

This growing international interest in the ILL protocol and the need to examine implementation issues pertinent to its use in an international context resulted in the creation of the International Forum on Open Bibliographic Systems (IFOBS). The group, composed of bibliographic institutions from Canada, the U.S. Great Britain and Europe, are examining a number of issues relating to the use of protocols for international bibliographic communication. A primary focus of IFOBS continues to be the development of draft International Standardized Profiles (ISPs) for bibliographic protocol standards, As protocols, by their nature, include a number of options, a profile specifies the options to be implemented from within a standard or group of standards. The establishment of an ISP for bibliographic protocols helps to insure that implementations conforming to the ISP support the same functions and can interwork.

As part of the their ISP development efforts, IFOBS has been collaborating with the European Workshop on Open Systems Expert Group on Libraries

(EWOS/EGLIB). This group has been asked by the Commission of European Communities (CEC) to develop European profiles for ILL and SR.

Conclusion

Following the standardization of the ISO ILL protocol in 1991, work is continuing to develop protocol-based ILL systems and to establish operational services within Canada and throughout the international library community.

However, future initiatives must also include a coordinated effort by libraries to develop local, regional and national interlending strategies and policies that exploit the potential of the ILL protocol to promote the sharing of resources and effective interlibrary loan services.

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IFLA GENERAL CONFERENCE NEW DELHI 1992

Division: COLLECTIONS AND SERVICES

Section/RT: Serial Publications

60-INTL-2-E

Joint Meeting with:

WORKSHOP THEME (IF APPLICABLE):

Sci-Tech Libraries:
New Approach to Interlibrary Loans

Ms. E. Eronina
The Russia National Public Library for Science and Technology

For internal use only:

Meeting No: 89

SI: yes/no

Estimated number of participants at the meeting:

Until recently, the basic principle of the interlibrary loans was close cooperation between libraries and STI units of the former Soviet Union to better fulfil users' requests. The system comprised libraries of practically all regions and organizations with different status, subordination and technical facilities.

The ideal model of interlibrary loans and document supply may be presented as follows:

- availability of the union catalogs system for fast location of documents;
- application of the modern communication means (E-mail, fax, telex) for transmitting users' requests and documents;
- decision as to the interlibrary loans being a charged service or a free one and conclusion of the appropriate agreements between libraries.

Today, the system of interlending and document delivery, existing in our country, doesn't fully correspond to any of these demands

The main source of information while searching for the requested document is the union printed catalogs. Regretfully, even major libraries don't often have complete sets of these publications. As for small libraries (for instance, scientific and technical libraries in enterprises or institutions), they simply can't afford to spend some 1,000 roubles for subscribing to an annual set of the union printed catalog. It may leave them with no money for acquiring other publications. Machine-readable union catalogs, which our Library produces, are not widely used, because only few libraries have the necessary equipment.

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At present, the most common way of sending a request is to forward it by post on a special request form, which is the same for all libraries and STI units. Not more than 100 organizations out of 25,000 Library's users make use of the teletype, to say nothing of the fax and E-mail. There are even no telephones in loan divisions of many libraries.

Document delivery is in a still worse position. If for transmitting requests some libraries use telephone, teletype, fax and telecommunication, in document delivery the technical problems arise due to absence of fax facilities. Not only originals but also photocopies are sent via mail thus prolonging the time for fulfilment of requests.

The present political and economic situation on the territory of the former Soviet Union has affected the interlibrary loans as far as payment for this service is concerned. Introduction of market relations, economic independence resulted in complete chaos. Now some libraries serve users free of charge and some libraries demand payment for their services. Moreover, even libraries of the same region or parent organization don't coordinate their activities, the fees vary and there are often no economic substantiation for the payment demanded. As a result, it is the user who suffers, and the interlibrary loan loses its prestige and patrons.

These factors, as well as excessive centralization [illegible] the reasons for the inadequate organization of interlending and document delivery at present. During 2-3 last years the number of requests decreased drastically and the percentage of refusals increased. This can be illustrated by our Library's data: in 1992, as compared with 1988, the number of requests lowered by 2,5 times, the number of publications lent to users was reduced by 3 times and the percentage of refusals remained the same! 30-40%. The main reason for that is the reduction in literature acquisition, foreign literature, in particular, due to insufficient financing and lack of hard currency. And this, in its turn, results in lacunas in the collections, limitations in the number of publications copies acquired and many refusals with the following indications: "Out of stock","borrowed", "long queue".

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While entering into the market economy, libraries' expenditures on the interlibrary loans have sharply risen. Interlending has become one of the most expensive and unprofitable services: for instance, the cost of mailing has increased, on the average, by 10-15 times.

Having analyzed the situation, we came to the conclusion, that interlending and document delivery, being an essential part of the libraries ' information activities, demand now a fresh approach, the basis of which should be formed by the mutually advantageous cooperation between sci-tech libraries.

Making the interlibrary loans charged will enablelibraries to serve users more efficiently and gradually develop additional services. We must get used to the fact, that information is a product and one should pay for it. The money, firstly, will cover the difference between actual expenses of libraries on international loans and the subsidies from the state budget, secondly, could be used for raising librarians' salaries and, thirdly, it would give the libraries an opportunity to purchase the necessary equipment for improving users' service.

In 1992 our Library made the interlibrary loans for Moscow organizations charged, and is now making efforts to establish the sate relations with the former Soviet Union Republics.

For example, our long-standing cooperation with Estonian organizations confirms the correctness of our decisions, as they suit both parties. For users' convenience their requests are received by telephone and fast copying of documents, including those from other Moscow libraries' collections, is made.

The analogous service has been operated for some organizations in Lithuania and the Ukraine for 7 years already.

However, we realize, that not all our users can pay for interlibrary loans, which is why, we've foreseen the possibility of free service. It concerns, mostly, the libraries and non-profit organizations financed from the state budget.

One of the main problems, which an interlibrary loans librarian faces, is where to find the necessary publication unavailable in his/her library. It's possible to locate a holder of the document using union catalogs, in the creation of which our Library plays a leading role.

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The union catalogs system, being a multifunctional integrated one, is based on cooperation of libraries and STI units in the Commonwealth of Independent States.

Today, the automated library-information databank formed in the Library on foreign and domestic literature on natural sciences, technology and agriculture contains some 700,000 records, the annual increase - 80,000-85,000 records.

The Library disposes of the following databases:

- on foreign periodicals;
- on foreign books;
- on domestic hardly accessible ("grey") literature;
- on manufacturers' catalogs;
- on published algorithms and programmes of the Library;
- on unpublished translations;
- on serials from the Eastern European countries.

To ensure the fast search of information and efficient operation of the country's interlibrary loan services, the union catalogs can be issued in printed form as well as on diskettes. In the period of transition to the charged interlibrary loans exposing library's collections in union catalogs is an essential factor of effective library's work. Such form of cooperation will help preserve the long-term cooperation of libraries in library-information service of users. In future, it's planned to improve the quality of the union catalogs and to produce and distribute them on CD-ROMs. It is considered advisable to issue on CD-ROMs a union catalog embracing all types of publications.

The Library, as a leading organization in the union catalogs system, is responsible for maintaining and developing of software and hardware for the automated library-information databank, for extending the list of information services, for rendering consultative assistance to the network of the regional information processing centres.

It's foreseen, to go on with the work on setting up regional and branch centres for collecting, processing and tranferring to our Library information on new acquisitions of the libraries in the former Soviet Union Republics, regions or branches.

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In 1992-1993 it's envisaged to complete the creation of this infrastructure with 30 centres covering 80-85% of new acquisitions of the libraries in the Commonwealth of Independent States. It's supposed that within 2-3 years the total amount of the libraries participating in the automated library-information databank will reach 2,000.

For greater efficiency, effectiveness and reliability of information processing in the union catalogs system a special mode for receiving and transferring information has been developed and implemented. It utilizes switched lines of the public telecommunication networks and the specialized network RELCOM as well as dedicated lines in the SIRENA network of the Aeroflot air-line (E - mail and on-line access).

Development of automation and implementation of new technologies in the near future will, undoubtedly, affect document supply services. Today, a unified automated system of checking the fulfilment of requests on originals and photocopies is being developed in our Library. A modern technology in the local area network in the divisions of the interlibrary loans, storage and photocopying as well as the automated bar-coded indentification system will ensure fast supply of information.

Telecommunication access to the databases of our Library and of other libraries and information units, enabling the user to order originals or photocopies, is a most promising trend.

Development of a technology of the fax-based information transfer will make it possible to solve the problem of the long time needed for document delivery by mail. However, there are some problems here, as the libraries' possibilities of buying this modern equipment are limited for the time being.

In the Commonwealth of Independent States the demand for the interstate information exchange and document supply will increase. Interlibrary loans and libraries' cooperation should be drastically altered.

The Russia National Public Library for Science and Technology is ready to act as the main executive body and coordinator of these activities. The Library possesses all the necessary resources to fulfil the task: unique collections, highly qualified specialists, gifted scientists. No other library in Russia or in the former Soviet Union Republics has such technical facilities.

Now it is necessary for us to make a quick start for working effectively for the benefit of science and industry, ensuring a gradual revival of the national economy.

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That's why, our Library urgently needs help and support of IFLA, expansion of contacts with libraries and library associations abroad. We are greatly interested in information on new advances in interlibrary loans activities in other libraries around the world to use them in our Library.

Training of the Library's specialists in application of the modern library technologies in the major libraries abroad could be most helpful.

Taking into consideration the significance of the informal contacts of professionals, participation of our librarians in the workshops and seminars, conducted by the IFLA Section on Interlending and Document Delivery, can be also highly beneficial for them.

We hope for the understanding and support of our colleagues and we'll be grateful for any possible assistance.

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IFLA GENERAL CONFERENCE NEW DELHI 1992

Division:

Section/RT: Section on Interlending and Document Delivery

87-INTL-3-E

Improving interlending through goal setting and performance measurement

by

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Fill rate

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IMPROVING INTERLENDING THROUGH GOAL SETTING AND PERFORMANCE MEASUREMENT

The availability of needed publications is, from most users' point of view, probably the most appropriate measure of a library's effectiveness. Although immediate availability is the ideal, interlending offers a way to improve availability over time.

With the goal of maximum availability in the shortest possible time, the Interlending Section of the Unisa Library has developed a number of performance measures to determine its effectiveness. The performance measures were instrumental in targeting problem areas which could contribute to a more effective service by technological and other means.

The rationale behind the performance measures and the actual performance attained, as well as the factors contributing towards their improvement are briefly described.

INTRODUCTION

The University of South Africa (Unisa) provides tuition by way of distance teaching. After its first decade during which it proved that it was able to meet, and even supersede, the quality of the education offered by residential universities, it has shown an extraordinary growth rate of around 9% per annum over the last three decades. Although this growth has tapered off in recent years due to financial and other pressures, its student body during 1992 numbers about 120 000, including some 3 000 masters and doctoral students.

Accepting the challenge to provide the best possible library service to its staff and students, Unisa's Department of Library Services formulated the following mission statement (see Appendix 1):

> The Department of Library Services, as a service organisation, furthers the mission of the University of South Africa by:
>
> - providing information resources to meet the information needs for study, teaching (particularly distance teaching) and research programmes;
> - promoting the effective use of library services and information resources;
> - making the various resources of the Department of Library Services available to the wider community, where necessary.

In essence the Library has accepted its responsibility to provide both information and information sources to two distinct user groups namely:

- the students following undergraduate and other structured courses, and
- the researchers, including masters and doctoral students as well as the teaching staff. Although the Unisa Library offers information services at an advanced level, most of the Library's activities and the major part of the financial resources are still spent on the provision of the books, journals and other information sources needed by its users.

Since the early 1980s, the Library has been involved in a goal-based

approach to develop the most effective library service possible. An essential part of this approach is the need for clear objectives and a way to measure the performance effectiveness of the various services and activities (6; 7).

Measuring the effectiveness of the information service on a continuous basis has proven a fairly complex problem which has only recently been investigated and a quantitative measure proposed (1). As far as the provision of the required information sources or document delivery is concerned, the library staff and the academic staff of the University agreed that the availability of needed publications was the primary goal of the Library from the users' point of view.

Initially an overall availability performance measure was developed. However, it soon became apparent that, since the information and literature needs of students and researchers differed significantly, a single availability measure was not adequate to measure the effectiveness of the service. Since most students in Unisa's distance teaching environment are using the Library primarily to obtain copies of a limited number of recommended titles to do their assignments, the following goal was, therefore, formulated:

- to assist students registered for structured courses by the timely provision of the necessary recommended literature.

The performance measure for this service is the level of availability of recommended literature on request and is determined by way of a bi-annual survey. The Library accepts full responsibility for this service and interlending, therefore, plays no role here.

Teaching staff and researchers ideally should be acquainted with the state-of-the-art in their research fields. It is the Library's goal to promote current and future research, as well as teaching by the selective acquisition, cataloguing and storage of as many as possible of the relevant information sources required. The extent to which the library service is effective in making information sources available immediately upon request is at present measured quarterly by way of a survey as patrons leave the Library.

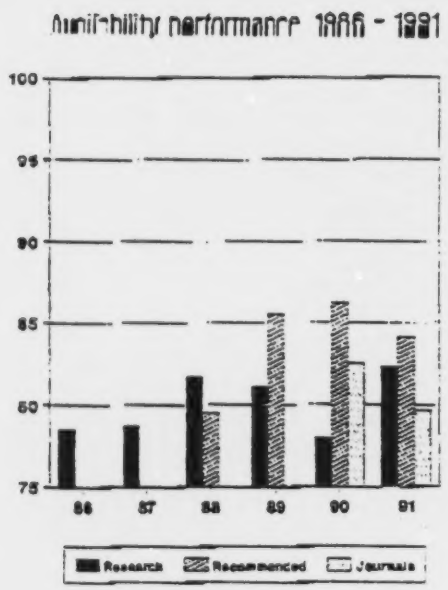

Figure 1: Availability performance

As indicated in Figure 1, the effectiveness has fluctuated in a fairly narrow band over the last few years. It is somewhat disappointing that, in the light of various actions taken, the effectivess has not shown a marked improvement, but if the increasing number of students and the decreasing budget (in real terms) are taken into consideration,the results are more than gratifying. More significant, however, is the fact that researchers have been unable to obtain about 20% of the publications they need.

One of the ways in which this availability level can be improved is through interlending facilities. Since about 14 000 publications are at present being requested from other libraries annually, the effectiveness of this service is a major factor impacting on the overall effectiveness of the Library.

THE INTERLENDING CHALLENGE

Two of the most important dimensions of an effective interlending service are:

- the extent to which required publications can be obtained;
- the time it takes to obtain those publications.

For the purpose of this paper other dimensions such as cost-effectiveness will be disregarded.

In order to fulfill its goal to co-operate with other libraries in the collection and provision of information resources in the national interest and also for its own benefit, one objective of the Library is that information sources which are unavailable in the Library upon request will be supplied, where feasible, as fast as possible.

Initially, the aim was to provide 90% of these publications within two weeks. The actual situation, however, indicated that this was totally unrealistic, as indicated by the early measurements taken in 1987 where a reasonable 86,3% of requested publications could be provided, but the average delivery time was 26,3 days. The advantage was, however, that the performance measures were refined, appropriate areas for improvement were identified and action plans developed to gradually increase the effectiveness of this service.

Several publications propagating the use of performance measurement in interlending have recently appeared (2; 3; 4; 5) and a large number of studies providing performance data on the situation in a library or interlending system at a particular time are also available. This paper describes how a continuous process of performance measurement has contributed towards the goal of providing the best possible interlending service.

PERFORMANCE MEASUREMENT AND OBJECTIVES

The first measurements indicated that the number of requests that could be filled (86,3%) was fairly satisfactory but that the time it took (26,3 days on average) was considered much too long. The obvious first question was how delivery times could be improved?

A more detailed analysis of delivery speed was, therefore, undertaken, indicating the cumulative percentage of requests received after 7, 14, and 21 days from each of the current four (formally three systems until 1990) supply systems used, namely the Southern African Interlending systems (SA), British Library Document Supply Centre (BLDSC) international and Data-Search (see Table 1).

	1988			1989			1990			1991		
	-7	-14	-21	-7	-14	-21	-7	-14	-21	-7	-14	-21
SA		61,3	76,9		64,2	78,8		66,1	80,2	28,2	67,3	79,9
BLDSC		3,7	43,7		8,4	52,5		33,0	71,9	3,3	70,9	84,4
Industrial		-	-		-	-		-	1,1	-	0,1	0,7
Data-Search		-	-		-	-		-	-	-	8,9	60,3
TOTAL		46,2	63,8		44,0	60,0		54,9	71,2	21,8	61,4	73,9

Table 1: Comparative data of the four interlending supply systems, 1988-1991

The figures in Table 1 show a gradual improvement of items received within 14 days from 46,2% to 61,4% and those received within 21 days from 63,8% to 73,9%. Significantly, 21,8% of the items requested are now received within 7 days. These improvements are the result of a number of different actions and other developments. Although it is not possible to determine the extent to which each action contributed to the improvement, the various actions undertaken by the Library are outlined.

A further analysis of the number of items requested from each of the supply sources mentioned above was done. It showed that about 90% of the items were requested and supplied through the South African system and the British Library Document Supply Centre (74% and 16% respectively in 1991).

At present, items requested through the international interlending system amount to a mere 7,5% and these have an extraordinary long delivery time, averaging 90,1 days. A further 2% are now processed experimentally through Data-Search. From another point of view 76,5% of requests are for journal articles and 23,5% for monographic materials.

Obviously most of the effort was initially directed toward the improvement of local interlending. The first problem in interlending is determining if and where a specific publication is available. South Africa is fortunate in having a comprehensive joint catalogue of periodicals called Periodicals in Southern African Libraries (PISAL), which is available on COM microfiche and is updated on a six monthly basis by the State Library. With financial and other support, various university libraries assisted in converting the

non-MARC PISAL-data to the South African Bibliographic and Information Network (SABINET). In order to ensure the currency of the database and to facilitate the more effective rationalization of subscriptions amongst university libraries, the Inter- University Library Committee (IULC) representing all South African universities, was persuaded during 1991 to agree to record all cancellations and new subcriptions immediately on SABINET. Reasonably accurate holdings information (the databasis does contain some faulty information) on needed journal articles can thus be obtained in minutes. It is hoped to convince non-university SABINET members to do likewise.

Similarly, the various sequences of the Joint Catalogue of Monographs are available in microfiche form and/or on SABINET, although a number of universities have not yet added their most recent machine-readible data due to incompatability problems. University libraries again took the lead and agreed to contribute information directly to SABINET with regard to more expensive acquisitions (in excess of $350).

The second step in the interlibrary loans (ILL) process is the transmission of requests. The more expensive use of telex was at first reserved only for urgent requests. Whilst postal requests were cheaper but, unfortunately, considerably slower, it was still argued that most requests do not warrant the additional cost. Recognising, however, that its researchers would only accept resource sharing as a valid form of document supply if requested materials are made available speedily, the Library instituted telex in the late 1960s as its standard mode for requests. More recently fax facilities are making rapid in-roads for the transmission of requests. These technological conveniences have led to a decrease in response time of between five to two days. It is hoped that the proposed interlibrary loan module on SABINET may result in a further reduction in transmission time.

The third action which influences the delivery time is the transportation of the material from the supplying library to the requester. Book post is the most common mode of dispatch. It is, unfortunately, even slower than ordinary post. A number of alternatives have, therefore, been investigated to speed up the process.

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Prior to the investigation of delivery times some years ago, the larger libraries in the Pretoria region had agreed to use the State Library as a distribution and collection point for ILL materials. Since several of Unisa's major ILL partners are in Johannesburg, it was suggested that significant time gains could be made by using the distribution points also for loans between the two cities if daily transport could be arranged. In time, an arrangement similar to that with the State Library materialized in Johannesburg with the University of the Witwatersrand (Wits) as distribution point. The Unisa Administration, which operates a daily truck service between Pretoria and Johannesburg, agreed to take on this task and the service has been running effectively for some time between the large libraries. Smaller libraries, which do not have sufficient materials to collect and/or deposit daily, have tended to visit the distribution points only once or twice a week - thus negating the advantages of the system. Recently, a further refinement has been effected whereby Wits keeps materials for Unisa separately. This means that, since items do not have to go to the State Library before they are distributed, almost a day is saved in the delivery process.

For urgent loans from libraries in other centres, use is made of the fax to send copies of journal articles whilst courier services are used to deliver books. Obviously, the cost implication of these services is much greater than the cost of dispatch by ordinary post, e.g. faxing a 9 page article at R7,94 to Bloemfontein versus R5,90 for certified post. A courier service, by contrast, will cost between R15,00 and R18,00 (for one kilogram) or up to R90,00 for same-day courier delivery. A cost increase of this magnitude was not considered acceptable to save just a few days on an item that was not urgently needed. It was hoped that if all universities joined together in using one courier service to transport all their loans, the unit price could be brought down to more acceptable levels in relation to the time saved. The ILLC agreed to investigate this possibility but, unfortunately, the costs still remained excessive for normal usage. If postage rates maintain the current rate of increase courier services may, in the near future, still become acceptable.

A fourth facet of the ILL process is the speed with which the library staff deals with incoming requests. A cursory analysis of the average reaction

time of the major supplying libraries indicated that some libraries were taking two to three times longer than others. A suggestion by Unisa that university libraries should react within two days to an ILL request was accepted in May 1991. A follow-up study during February 1992 showed that some librarians had not taken this decision very seriously as their staff were taking as long as three weeks to react. In fact, the study indicated that virtually no library was meeting the two day target.

At a meeting in May the IULC reconsidered the need for closer co-operation as a consequence of decreased government subsidies and the resulting urgency for most university libraries to rationalize. In view of the seriousness of the matter it recommended to the Committee of University Principals (CUP) that an agreement to co-operate should be ratified in a formal contract and signed by both the Librarian and Principal or Vice-chancellor of each univeristy. The concept agreement which is now awaiting CUP approval, contains a revised decision to react within three days to an ILL request.

With the improvements achieved so far in the Southern African ILL system, it is becoming increasingly difficult to speed up the process even further. Performance continues to be measured and is to be evaluated on a bi annual basis when new possibilities are considered. Future actions will concentrate on improving performance in co-operation with some of Unisa's major partners.

For publications not available in South Africa, the British Library Document Supply Centre has always provided an excellent backup service. The improvements in delivery times that were realised between 1988 and 1991 are quite superb - from 3,7% in 14 days to 70,9%. This is even better than the 67,3% achieved for the local system. The fact that 3,3% of the requests are received within seven days is even more impressive.

This excellent improvement is the direct result of two developments. Firstly, the use of the Boston Spa Serials (on CD-ROM) which is published by BLDSC and secondly, and primarily, the availability of an electronic request facility from BLDSC known as ARTTel (Automated Request Transmission by Telephone). This has not only reduced the time it takes to transmit the

request from days to minutes but also appears to enable BLDSC to process requests faster. The costs for this facility are comparable with the postal system.

The relatively small number of requests needed from other libraries worldwide poses a difficult problem which still has to be addressed. Last year a new service by the name of Data-Search came to our attention. It is a commercial service which uses the holdings of various United States libraries. Although, for our purposes, it is not as effective as the local system or BLDSC, experimental use indicates that whilst it is an improvement on the international ILL channels, it appears to be a more expensive facility.

CONCLUSION

To realise its goal of maximum availability of needed publications for its users, Unisa set itself clear objectives to improve both fill rate and delivery time.

The performance in these areas is continuously measured and major problem areas are identified and analized. In this way the focus has been provided for bi-annual reporting and planning sessions which have lead to a number of action plans to minimize problems and optimize available facilities, including the use of new technological developments. This has resulted in a considerable improvement in the performance of the ILL service over the last few years.

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Appendix 1: Unisa Library Services: mission, goals and objectives

MISSION:

The Department of Library Services, as a service organisation, furthers the mission of the University of South Africa by:

	GOALS	OBJECTIVES
Providing information and information sources to meet the information needs for study, teaching (particularly distance teaching) and research programmes		
Information Provision	To assist researchers, lecturers and post-graduate students in the identification of and access to relevant resources or information	To answer, upon request, the greatest possible percentage of bibliographic and information enquiries accurately and quickly
Document Delivery (Study Collection)	To assist students registered for structured courses by the timely provision of the necessary recommended literature	The maximum quantity of recommended literature must be available and retrievable
Document Delivery (Research Collection)	To support present and future research and teaching by the selective acquisition, cataloguing and storage of information resources required for this purpose, and to make these available	The maximum quantity of information resources for research and teaching activities must, upon request, be available and retrievable
Making the various resources of the Department of Library Services available to the wider community, where necessary and at the same time being able to use the resources of other libraries	To co-operate with other libraries in the collection and provision of information resources in the national interest and also for its own benefit	Information resources which are not available upon request will be supplied, where feasible, as fast as possible.
	To make the library's resources available to research communities other than the University, or those with which the library has reciprocal user agreements, selectively and on a cost-recovery basis	Not yet formulated
Promoting the effective use of library services and information resources	To familiarise students, lecturers and researchers of the University with the use of the library and of library resources	The ability of students, lecturers and researchers to use the library independently and to maximally utilise its resources must be developed
Striving to be as efficient as possible	To manage the library in a cost-effective way	To achieve the highest possible number of issues per staff post

IFLA GENERAL CONFERENCE NEW DELHI 1992

Division: Collections and Services

Section/~~RT~~: Serial Publications

Joint Meeting with:

WORKSHOP THEME (IF APPLICABLE):

25-SER-1-E

OSIRIS, a microcomputer based "Online Serials Information, Registration and Inquiry System".

by

Ms Suzanne Santiago

Director
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75002 Paris - France

For internal use only:

Meeting No: 78

SI: yes/~~no~~

Estimated number of participants in the meeting:

Abstract

OSIRIS (Online Serials Information, Registration and Inquiry System) is a micro-computer based software for the registration of serials and management of serials databases. It is an application based on Unesco Micro-CDS/ISIS software and allows users dealing with up to 30,000 records to take advantage of automation with limited hardware investments. OSIRIS, which was developed within ISDS framework and supported by IFLA as a project of the past medium term programme, is now available for distribution. The paper presents the steps taken in the course of the developments and a general description of OSIRIS features and applications.

The development of a micro-computer based software called OSIRIS (Online Serials Information Registration and Inquiry System) was a project supported by the past medium-term programme (1986-1991) of the IFLA Section on serial publications. OSIRIS is designed for the registration of serials, local management of databases dealing with serials and retrieval of information, production of bibliographies and catalogues that could be derived from them. Being based on a microcomputer, it allows small and medium size projects on serials to take advantage of automation at a limited cost.

The purpose of this paper is to present the way the project was conducted and its result, the OSIRIS software, that is presently available for distribution.

Background and developments

The idea of OSIRIS was first presented to the ISDS Directors' meeting in 1986 in Budapest by Mr Jacso and Mr Szücs, the conceptors of the software. The project was welcomed by the network and formally accepted by the ISDS Governing Board in 1987. The work started with the evaluation of needs, the finding of partners and the establishment of procedures.

The first draft User's Manual was delivered by the conceptors to the ISDS International Centre in 1989. The specifications of the software and the schedule of actions could be presented to the Standing Committee of the IFLA Section on serial publications in August 1989, at the Paris conference.

The support and work of the following institutions and persons should be mentioned here :

- Unesco authorized ISDS to use Micro-CDS/ISIS, the Unesco developed PC software for management of databases, as the

underlying software of OSIRIS, and granted ISDS a licence to distribute it.

- IFLA, recognizing the international value of the project for the serial community, supported the idea and granted financial support for training and documentation.
- The conceptors of the software, Mr Jacso and Mr Szücs, continued to work enthusiastically towards completion of the package, though time having elapsed since the idea was raised, they were involved in other professional ventures.
- The two test Centres, Hungary and Ireland, their Directors, Mrs Szilvassy and Ms Fletcher, and staff dedicated much time and energy to a thorough scrutiny of the software and documentation, thus greatly facilitating the work of those who would use OSIRIS after them.
- Finally, the staff of the ISDS International Centre, Mr Rozenfeld, head of the computer section above all, set a high priority in the coordination work between users and conceptors, and put all their ISDS experience in the service of project.

This paper should be a collective paper because it draws much of its content from technical documents, reports on tests and working sessions, and from the User's Manual.

This paper will first sum up the steps taken in order to reach the final product, as they are explicit of the objective that was aimed at. The draft Manual presented to the Standing Committee in August 1989 was a basis for further discussion on the necessary developments, i.e. a thorough adaptation of a powerful underlying software to specific requirements. A first pilot version was available in Spring 1990 for installation.

The two ISDS National Centres that had volunteered and had been chosen to test the package (software and documentation) were Hungary and Ireland. In addition to their willingness to dedicate the necessary efforts to the experiment, they were representative of different types of users. The Hungarian Centre had been involved in the project from its very origin. It was a medium size centre and the Hungarian language itself was an additional difficulty (a non-Indoeuropean language with diacritics). The Irish Centre, on the other hand, had a small size database to manage and was a complete beginner in OSIRIS and moreover had never used a micro-computer before.

The two centres thus combined several of the difficulties different users would experience and their valuable comments provided a better understanding of the user's needs. They helped finding suitable solutions before a larger distribution of OSIRIS.

In order to create the conditions for successful tests, the OSIRIS system was installed in both Centres and staff trained in local sessions thanks to the financial support of IFLA : Hungary in May 1990 and Ireland in July 1990. The first period of test raised a number of questions that had not been addressed previously : technical problems that required corrections and improvements that were felt necessary by regular users in their daily routines. Reports were submitted to the ISDS Directors' meeting in October 1990 and development work continued in order to answer the comments and proposals put forward by the testers.

A second version of the software was ready for delivery in 1991 and was re-installed in Hungary in September, without external help.

Results of the test were presented at the ISDS Directors' meeting in October 1991. Facing few technical problems with the second version, the Hungarian Centre proposed further developments that would be welcome in a future version of the software and focused on recommendations to users on how to include OSIRIS appropriately in their working procedures. In the meantime, the Irish Centre reviewed the User's Manual to make sure that a user with no experience in PC would be able to follow step-by-step instructions when left alone with the package.

During the whole process, the International Centre reported to the conceptors, organized priorities in the developments, those needed immediately and the desirable ones that had to be postponed for a future version. The conceptors took into account all requests, finally having to handle a larger project than anticipated at an earlier stage. The final stage took more time to reach than expected and announced in 1989 but the delay is largely counter-balanced by the quality of the result.

The software

It is a difficult task to describe a software. The alternative is either to repeat the technical specifications and User's Manual, which may prove a rather tiresome experience for the audience, or to outline the description, which is frustrating for the speaker who would like to present the many features and advantages the application offers.

The description below will be limited to the size and scope of a general presentation, those interested in more detailed information can request it from the ISDS International Centre.

OSIRIS software uses as an underlying software Micro-CDS/ISIS developed by Unesco (Version 2.3). It is a powerful textual

information and retrieval system.

In addition to its searching capabilities, the options for indexing, the sorting and output formatting it offers, Micro CDS/ISIS allows for customization of the basic software for specific applications.

In the OSIRIS application, some functions are simply tailored adaptations of existing Micro-ISIS functions, (indexing, retrieval, sorting of records) others have been developped specifically for OSIRIS purposes (ISSN verification, immediate data checking during data entry, record validation, import and export functions...).

The functions developed in OSIRIS allow to :

- set up the OSIRIS environment
- load and invert the initial database
- create, modify and verify records
- update the inverted file
- search the database
- display, sort and print subsets of the database
- transfer records

The users are provided with a package including both Micro CDS/ISIS and its Manual and OSIRIS and its Manual. Once the installation is carried out, the use is in one single environment and users need not be specialists of Micro-CDS/ISIS. The licence to use Micro CDS/ISIS is provided with the OSIRIS package.

The hardware requirements are as follows :

- a PC/XT, PC/AT, PS/2 or 100% compatible with 640K RAM
- Minimum 2 Mbyte free hard disk capacity for the program
- Minimum 2.5 Mbyte free hard disk capacity per 1,000 records.
- PC-DOS/MS DOS Version 3.3. or higher.

Before the installation of OSIRIS, attention is drawn as to the hard disk capacity requirements. Users need to adjust their hardware equipment to the size of their local database.
Lastly, some experience with micro-computers (or initial training) is necessary, whatever efforts were made to tailor OSIRIS and make it as user-friendly as possible.

The operation related to the use of OSIRIS are first "one-off" activities when setting up the system, then recurring ones dealing with the current activities. OSIRIS users will first set up the OSIRIS environment : install ISIS, install OSIRIS, create the initial database. In the case of ISDS National Centres, the initial database is imported from the ISDS International Centre.
Other types of users may also receive subsets of the international database on request, according to several criteria (ISSN, dates or language of publication ...).
Then OSIRIS will allow any of the following current activities : creation, amendment, validation of records, retrieval of information from the database, sorting and formatting of records in order to produce indexes, bibliographies and when applicable, transfer of the records.
Records created and handled with OSIRIS are ISDS records. They consist in the same fields, subfields, mandatory elements.... with some few adjustments due to the underlying software. Differences were introduced in relation to local information and character sets.
Additional fields (9xx) were created for local needs : they can be used to make local notes about a record, can be displayed and searched.

The character set available with IBM PC and compatible micro-computers had to be taken into account also. This was a serious challenge within the project.

There was a conflict between character coding in the ISDS database (ISDS character sets for the international database and exchanges within the network are ISO standards 646, 5426 and 2022) and the limited character representation of personal computers. The basic ASCII character set or the Extended ASCII Character Set (EXACS) are not sufficient to represent all characters present in ISDS records as a consequence of the universal scope of the database.

To quote Mr Jacso from the User's Manual :

"A compromise had to be made among

a. the need for sending to the International Centre records using the ISDS character set,
b. the limitations in displaying characters using EXACS and
c. user convenience". Gizmo notation (character triplets), nearest equivalent notation and conversion in the import and export programs answered in the best possible way the three conditions.

A detailed description of the solutions will not be given here but it is worth noting that great attention was given to this issue that is one of the major difficulties in international bibliographical databases handled on PC.

Locals fields, character representations in connection with local equipments and keyboards, options offered in some functions make it necessary to customize individual versions of OSIRIS to stick as closely as possible to the user's requirements. A questionnaire is sent to all future users in order to provide answers to their specific local needs.

Applications

Originating from ISDS, OSIRIS's primary objective is to facilitate the registration of serial publications within the network. The facilities provided by OSIRIS make it a valuable working tool for a far larger part of the information community dealing with serials. Concerning ISDS, the advantages are twofold.

Before OSIRIS, National Centres sent their records to the International Centre on worksheets or tapes. Centres that have no access to a mainframe fill in worksheets. The worksheets method is slow process : checking at the International Centre, external keyboarding, checking of the keyboarding, finally processing of the data. If for any reason, a record is rejected and needs to be sent back to the National Centre, the whole process has to be repeated. The procedure delays the availability of the data in the ISDS Register.

In addition to the delays, with manual procedures by lack of automatic checking procedures at a local level, several types of errors can be introduced and the records will be rejected when processed by the International Centre. The advantage of maintaining the local ISDS database with OSIRIS are many in terms of correctness of data :

a. the internal structure of the record is checked : errors on tags, fields, subfields, their repeatability or mandatory presence cannot occur. The correctness of the codes used in the record (frequency, country code, language code, status...) is immediately checked.

b. the validation process checks the record within the local database : uniqueness of ISSN, uniqueness of key-title..

With checking procedures at the local level, there is only one possible case of rejection of a record : a title that is unique in a national database may not be so when checked against the complete international database.

The export function can be used at any convenient time and data greatly gain by a timely introduction in the ISDS Register and early availability to all users. What could seem an internal ISDS improvement ends up being a better service to all those needing available ISSN and ISDS records.

The use of OSIRIS should not be seen as strictly limited to a few ISDS National Centres. The package is available for all who wish to maintain serial bibliographies and even Union catalogues.
Keeping in mind the physical limitations of the hardware, all institutions dealing with less than an average 30,000 records can use OSIRIS.
Bibliographies can easily be produced. The OSIRIS users can create and amend records that can be selected, sorted and printed. They can import ready-made records from the ISDS Register and amend them if necessary. Local fields are available which can contain legal deposit mentions, address of publishers, inventory numbers.... And of course holding statements in the case of a Union Catalogue.
Many countries with small and medium size local production could thus create their national bibliography and print it. Small and medium size cooperative systems and Union Catalogues could take advantage of a ready-to-use software requiring little hardware investment.

Conclusion

The present software will live on and be improved. Valuable comments on future developments have been received from users. The most recent version of Micro-CDS/ISIS that was not available when the programming started will provide additional facilities. There will be new ideas in the course of a larger current and regular use of OSIRIS.

In its present "final state", OSIRIS is welcome as a great improvement in working procedures. The objective is reached. OSIRIS is now in the installation phase. Following Hungary and Ireland, the ISDS National Centres of Poland and Italy were installed in early 1992. Delivery to Czechoslavakia, Turkey, Romania... is under way. ACCIS (the United Nations Advisory Committee for the Co-ordination of Information Systems) was the first organization, outside ISDS National Centres, to be installed. Other external users and 10 National Centres expect to receive OSIRIS.

The International Centre organized a collective training workshop on the occasion of the ISDS Directors' meeting in October 1991, attended by 12 Centres. Lack of financial capabilities preventing a local training in each case, the experience will be repeated next year.

The issue led to a great awareness of the importance of the documentation. Users are geographically scattered. Support is sought for the organization of local or regional training. ISDS wishes to thank here its first voluntary sponsor : the UK Cataloguing and Indexing Group on the occasion of its Jubilee presented ISDS with a cheque in support of the training of an OSIRIS user.

The common satisfaction of those involved in the venture, the positive reception by users open up bright prospects. The IFLA Section will be kept informed of the future developments of a project to which it granted its active support from the very beginning.

IFLA GENERAL CONFERENCE NEW DELHI 1992

Division: Collections and Services

Section/~~Sec~~: Serial Publications

26-SER-2-E

Joint Meeting with:

WORKSHOP THEME (IF APPLICABLE):

Serial publications in India

by

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Rajasthan University Library
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For internal use only:

Meeting No: 78

SI: yes/~~no~~

Estimated number of participants in the meeting:

Abstract

Serial publications in India

Newsletters served to communicate news before the origin of serial publications in India. In modern sense, the serials originated during the British rule in 1780. In the beginning, the Europeans controlled the press. The Indian owned and the Indian language serials joined the scene much later. Since Indian mutiny in 1857, serials practised political journalism. Growth of education, scientific and industrial institutions, societies and associations, awareness among individuals, and political conditions, etc. were instrumental in the growth and diversification of serial publications.

The paper deals with the history and present status of serials with examples and statistical data. It is an introduction to the provision of legal deposit, guides and union catalogues of serials, indexing and abstracting services, etc.

Serial publications in India

India was under British rule till 1947. Since independence, India has made progress in all walks of life. With a population of 860 million India is a land of contrasts, a plural and a multi-lingual society, extending from inter-personal communication to satellite broadcasting, small newspapers printed on a treadle to multi-edition dailies printed using fascimile printing techniques, from an extensive broadcasting and television service to video newsmagazines, and with one of the largest film industry in the world.

The serial publication in India began much later than Europe. During the early period of British rule, however the European newspapers were used by the Englishmen in India. This was perhaps one of the reasons for lack of interest on the part of East India Company, to create newspapers.

Although printing press was not known before the last quarter of 18th century in India, the journalism existed even in mediaeval India, in the form of news journalism. A number of private or official news-letters, called akhbars, were available towards the end of Mughal empire. There were news collectors stationed in various towns who transmitted newsletters to their masters. Colonel James Tod collected such news sheets and sent these to the Asiatic Society of Bengal in 1828. A large number of these news sheets of Mughal period are reported to be in the Royal Asiatic Society of London.

Genesis

The origin of serial publications in modern sense in India can be attributed to enthusiasm and missionary zeal of individuals. William Bolt was probably the first person to think of initiating a newspaper, in the year 1768, but it was James Augustus Hicky who started the first Indian serial entitled Hicky's Bengal gazette or Calcutta general advertiser. Its

first issue appeared on Saturday, January 29, 1780, announcing itself as "a weekly political and commercial paper open to all but influenced by none". Hicky was imprisoned in 1781 on the charges of disturbing peace. The second newspaper to begin soon was the **India gazette** or **Calcutta public advertiser**. It began on November 1, 1780. Thus the torch was lit and carried forward by others.

From those days upto the year 1857 (the year of Indian mutiny) the earliest newspapers were started by Englishmen, who came to India with East India Company. These catered mostly to the needs of Englishmen. This was followed by a period when missionaries started publishing newspapers in English as well as in Indian languages. For example **Dig-durshan** (or India's youth magazine) and **Samachar darpan** (a Bengali newspaper) commenced in 1818. This marked the beginning of the Indian language press. Upto 1820, but for one Indian owned weekly in Calcutta, the **Bengal gazette** (1816) by Gangadhar Bhattacharjee, the Europeans controlled the press.

Later, to counteract missionary propaganda, some Indians started serials, e.g., **Sambad kaumudi** in Bengali and **Brahminical magazine** in English and Bengali came out in 1821. Some of the earliest serials in Indian languages were : **Mumbai samachar** (1819), Gujarati; **Udant martund** (1826), Hindi; **Madras Chronicle** (1833), Telugu. By 1830 there were 16 serials in Bengali. In this period serial publications in Bengali out numbered all other Indian languages. Even serials in Hindi language came later and were less in number. The Indian language serials had slow growth before 1857. Even the ones which existed were run by missionaries.

Upto 1867, Indian language serials mostly dealt with literary, social and religious issues. It was only after the mutiny that a substantial number of serials in Indian languages started. This trend continued till independence of India in 1947. In this period these serials actively took

part in political journalism. In fact majority of newspapers, now in existence, are the ones that started after 1920.

Specialised serials and the growth of institutions

The spread of education and the interest of the British Government, during colonial rule in India, to prepare Indian elite with Western education, resulted into the creation of a large number of educational institutions. The first three Universities were created in Bombay, Calcutta and Madras in 1857. Simultaneously the Church missionaries, to spread christianity and the Indian natives to counteract their impact, started a number of serials. Also, before independence organised scientific research started with the establishment of institutions, like the Botanical, Zoological, Anthropological, Archaeological and Geological Survey, etc. A few of the societies etc., that were established before independence are : Asiatic Society of Bengal, Calcutta (1784); Benares Mathematical Society (1908); Indian Institute of Science (1911); Baptist Missionary Society, Serampore (1813); Indian Institute of Experimental Medicine (1935), etc.

Such Institutions, many government departments, as well as individuals, were responsible for producing a large number of serials. This trend continued with much more vigour after 1947. For example the Council of Scientific and Industrial Research (CSIR), within a decade after independence, had created 20 research laboratories. By now there are more than 190 universities. A large number of R&D national laboratories are functioning under CSIR, Indian Council of Medical Research (ICMR), Indian Council of Agricultural Research (ICAR), Defence Research and Development Organisation (DRDO), etc. Indian Council of Social Science Research (ICSSR) and a large number of institutions in the area of commerce, business, industry, etc., have come into being leaving no conceivable area of human activity uncovered.

The growth of serial publications in India, as will be true of other countries, ran parallel to the growth of the institutions, and increase in the government's interest in the R&D, education, etc. The first specialised serial known to us, was the **Asiatick researches**, started by the Asiatick Society, Calcutta in 1788. A few other serials of 19th century India are: **Monthly circular letter relative to the missions in India** (1807), Serampore; **Transactions of the Medical and Physical Society of Calcutta** (1823); **Gleanings in science** (1829), Calcutta; **Annals of Indian administration** (1855), Serampore; **Indian economist** (1869), Bombay, etc.

It is evident from the history of serials that a greater emphasis was on applied sciences and a few of the disciplines in social sciences, viz. economics, history, education, law, etc. This was due to more relevance of these disciplines to the society.

Present position

According to the **Press in India** issued by the Registrar of Press, in 1985, there were 22,648 serials. In 1988, the number grew to 25,536. This excludes about 3000 miscellaneous serials. The annual growth rate of serials is decreasing continuously. It has come down from 7% in 1971 to 3.7% in 1988. Cessation of only 186 serials, as against 1050 registered for the first time in 1985, points out a low mortality rate.

The states publishing more than 1500 serials in 1988 were: Uttar Pradesh 3564; Delhi 3354; Maharashtra 2997; West Bengal 2612; and Rajasthan 1599. In 1988, there were 2281 dailies and 7948 with 1 to 3 issues per week. These were published in 93 languages and dialects. The languages with more than 1000 serials were: Hindi 8222; English 4458; Bengali 1828; Urdu 1728; Marathi 1273; and Tamil 1036.

In terms of ownership in 1985, out of 22,648 serials, 15,281 were published by individuals and 3593 by societies and associations. The Government produced 615 serials and 99 serials were published by foreign missions. USSR alone produced 45 serials. However, now after reorganisation of USSR, a number of serials have ceased publication.

In terms of content in 1985 (excluding 1913 serials published one to seven times a week) 8578 belonged to the news and current affairs; followed by 3120 literary and cultural; 1746 on religion and philosophy; 800 on science, medicine and health; 665 on commerce and industry; 487 on social welfare; 420 on films; and 368 on labour. The estimates about number of serials in a subject varies in different sources, due to difference in estimates of total number of serials and differences in classification.

Press laws and legal deposit

From the very beginning there have been regulations and laws pertaining to press. With restrictive laws and regulations the editors were even deported and penalty was imposed. The Press and Registration of Books Act was passed in 1867, providing for registration of all publications except governmental publications and preservation of copies. This continues, with amendments, to be in force even today. According to it the printer of every newspaper was to deliver two copies of each issue to the government, as per the clause inserted in 1922; and one copy to the Press Registrar, as per the clause inserted in 1955. It is natural to believe that upto 1922 there was no legal deposit of serials. From 1947 to 1951, we are not sure about the acquisition through legal deposit by any library, due to confusion following independence of India. After 1951 one copy of each issue was required to be sent to the National Library, Calcutta.

In accordance with the Delivery of Books and Newspapers..Act 1954 (newspapers added in 1956), a copy of each issue is required to be

deposited with the National Library; Connemara Public Library, Madras; Delhi Public Library; and the Central Library (Asiatic Society), Bombay. Legal deposit is required under both the acts, i.e. of 1867 and 1954, amounting to 6 copies. Coupled with the effect of further amendments of these acts by different states, one may have to deposit more copies of each issue of serials. It is believed that a large number of publishers/printers do not deliver the required copies, thus leading to incomplete legal deposit collections. Incidentally, the copyright act in India since inception does not have in its perview, the legal deposit.

Guides to serials

The earliest attempt to compile a guide to serials in India has been traced back to 1855, when Reverend James Long compiled **Returns relating to native printing presses... and a catalogue of Bengali newspapers and periodicals... 1818 to 1855.** In the same year Tom Luke compiled **Indian press guide and eastern advertisers handbook**, Madras. In 1935, J. N. Gandhi's **All India press annual**, ed. 3 appeared from Lahore. A few guides to serials are: **Current Indian periodicals in English: An annotated guide**, 1978, ed. 2, compiled by N.N. Gidwani and K. Navlani, Jaipur; **Directory of Indian scientific periodicals**, 1976, ed. 3 by INSDOC, New Delhi; **Directory of periodicals published in India**, 1991 ed. 2, by Susheel Kaur and P. Sapra, New Delhi; **Press in India** by Registrar of Newspapers, Government of India; **Accession list of India: Annual serials volumes** and **Quinquennial serials cumulation** by Library of Congress Office, New Delhi.

The last three guides cover serials in Indian languages also. Where **Press in India** is extensive in coverage, the **Accession list India** is extremely selective.

Union catalogues of serials

In addition to the National Library, Calcutta, serial collections of interest exist at National Science Library of INSDOC; National Medical Library, Delhi; Library of Indian Agricultural Research Institute, Delhi; laboratories of CSIR, ICAR, ICMR, DRDO, etc.; Bhabha Atomic Research Centre, Bombay; National Social Science Documentation Centre (NASSDOC), Delhi; Indian Institute of Science, Bangalore; some large University libraries, etc. A weak aspect of the serial collections in India is that there are gaps, specially of rare or near extinct serials.

The importance of up-to-date and comprehensive union catalogues does not need to be stressed here. A few early attempts to prepare union catalogues of serials are: **Catalogue of the Scientific serial publications in the principal libraries of Calcutta**, 1918, by Stanley Kemp, Asiatic Society of Bengal; **List of scientific periodicals in the Bombay Presidency**, 1931, by M.B. Arte, Royal Institute of Science, bombay; **Union catalogue of learned periodicals published in south Asia**, Vol. 1, 1953, Indian Library Association. These were followed by a number of union catalogues covering a specific geographical area, viz. Baroda, 1928; Udaipur, 1962; Nagpur, 1963; Maharashtra, 1964; Rajasthan, 1968, etc., but all these were isolated efforts and have not been revised.

NASSDOC has done a commendable job by completing in 1976, the **Union catalogue of social science periodicals and serials** in 32 vols. It has 31,125 records. Its part for Delhi, last revised in 1982, has 5000 titles. Similarly, INSDOC has completed, in 4 vol., **National Union catalogue of scientific serials in India**, in 1988, with 36000 records. Before the **National union catalogue**, INSDOC had compiled separate volumes for different regions. The complete catalogue is also available as on line service.

National Medical Library has been bringing out the revised edition of the **Consolidated catalogue of journals and other periodicals contained in the libraries of.....** (nine libraries in Kasauli, Calcutta, Bombay, Madras, Coonoor, Rangoon and Shillong). Its first edition was brought out by the Indian Research Fund Association in 1933. the title was later changed to **Union catalogue of medical periodicals in Indian libraries.** Its fifth edition in 1962 has 2282 records, from 84 libraries.

Indexing and abstracting services

Surgeon Major D.B. Smith and J.M. Coates were instrumental in initiating the first abstracting service in India, the **Calcutta medical news** in 1880. Increased scientific and industrial research during and after World War II and publication of a large number of primary serials in India, acted as catalyst in initiating indexing and abstracting services in India. The National Institute of Sciences of India in 1935 started an abstracting service **Indian science abstracts**, which ceased publication in 1939. In 1949, UNESCO-SASCO (South Asia Science Cooperation Office) started the **Bibliography of scientific publications of South and South-east Asia**, which was continued by INSDOC till 1964, and later on replaced by the **Indian science abstracts (1965-).** INSDOC also published the **INSDOC list of current scientific literature**, from 1954-65. Now **Current contents of Indian journals** is an online service from INSDOC, which covers the content pages of 1000 serials (available on diskette, hard copy, E-mail and Fax). There are a large number of indexing and abstracting services published by individual libraries, covering almost all disciplines, such as **Index to Indian medical periodicals**, (1959-), Delhi; **Irrigation and power abstracts** (1943 -), etc.

In social sciences and humanities, too, there are a number of indexing and abstracting services. **Index India** (1967 -) and the **Guide to Indian**

periodical literature (1964 -) are good. The former is more comprehensive, covering about 1000 periodicals, whereas the later is very selective. A few other services, by way of examples, are: **Documentation bulletin for South-east Asia (1969 -), Documentation in public administration** (1973 -), **Index to Indian legal periodicals** (1963 -), etc. ICSSR also brings out abstracting services in economics, geography, political science, and sociology & social anthropology.

A major lacuna in coverage is of Indian language periodicals, which deserves attention. **Hindi sandarbh** was published by Rajasthan University Library from 1969 to 1971. Similarly there is no service like Times index, London. However **Indian press index** (1968 -) and **Index India** (1967 -) index articles from selected dailies. **Index to the Times of India** (1973 to 1979) was a good attempt towards an index of a daily newspaper.

Recently the University Grants Commission (UGC) has developed information centres for science at Indian Institute of Science, Bangalore; and for social sciences at SNDT women's University, Bombay and M.S. University, Baroda. Information centre for humanities is yet to be created. These centres are to provide comprehensive information service to the researchers, throughout the country. Further the UGC has taken steps to create Information and Library Network programme (INFLIBNET), for networking university libraries, R & D institutions and information centres. When fully established (between 1991 to 1995 it plans to have 60 to 80 nodes), it will provide a variety of services, including database search, union catalogues, document delivery, etc. This will go a long way to help utilise meagre resources effectively. Similarly a few other networks, like CALIBNET for Calcutta libraries, DELNET for Delhi libraries, SIRNET for CSIR laboratories, etc. are taking shape. All these developments, with the help of information technology, point towards a bright future, with easy, efficient and effective access to information in India.

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IFLA GENERAL CONFERENCE NEW DELHI 1992

Division: Division of Collections & Services

Section/RT: Section on Serial Publications

92-SER-3-E

Joint Meeting with:

WORKSHOP THEME (IF APPLICABLE):

Basic Serials Management Handbook

by

Judith Szilvássy

Council of Europe Information and Documentation Centre, Budapest, Hungary

For internal use only:

Meeting No: 78

SI: yes/no

Estimated number of participants in the meeting:

Abstract

A brief review is presented of the Basic Serials Management Handbook project initiated primarily for Third World librarians by the Section on Serial Publications.The history, goals and actual state of work are described.The new structure proposed in line with the revised concept is also introduced.

Introduction

The Section on Serial Publications may justly be proud of having been virtually the first among the sections to reveal appreciation of the third world problems by raising in 1968-69 the idea of a "practical guide to the cataloguing of serials" The initiative was not followed then by any action.

Referring to official IFLA sources in her bibliography prepared for the ALP study (1), Eve Johansson points to the fact that "it was not until the 1970s that the problems of the third world really began to influence fundamentally the programmes of IFLA and, accordingly, also the structure of IFLA" (2).

In the past twenty years we have been witness to a very fruitful "maturing" process in the framework of which the Division for Regional Activities was established in 1976 and has been functioning since in close relationship with its three regional sections and regional offices. The process culminated in 1990 by the official launching at the IFLA Stockholm Conference of the new Core Programme, the ALP Programme for the Advancement of Librarianship in the Third World. As a matter of fact, its antecedents date back to 1984 when the idea was first raised at the Nairobi General Conference and has been from that time on a matter of intensive discussions, studies and missions.

All this was deemed necessary to recall, since the evolution of the project discussed in the present paper reflected the changes in the general attitude towards these problems. Neither proceeded at a fast rate, but this had the advantage of leaving time to realize, or better to teach us after repeated failures and frustration the lesson that the librarians in the developing and less developed countries need no "advanced" technology, but one that is "appropriate" at the particular level of development at a given time and location, just as is the case in all other domains of productive human activity.

1 Background

It was in 1982, at the Montreal General Conference that the project was suggested by Ross Bourne, former Chairman of the Section on Serial Publications. The idea was prompted by his experiences gained at the workshops initiated by the ISDS (3) International Centre and organized with Unesco support. These had the aim of training staff for the ISDS National Centres to be set up in the developing countries of Africa in processing and management of serials. It was then that he realized how urgent it would be to assist third world librarians in acquiring the basic theory and practice of their profession.

The original project suggested was the preparation of "a handbook of serials housekeeping routines for use in developing countries". This proposal was then refined by Jean Whiffin, Head of the University of Victoria Library Serials Division and Standing Committee member. At that time, as the Unesco/IFLA consultant on union catalogues of serials she has been evaluating the responses given to a pertaining international survey. The analysis of the answers emanating from developing countries convinced her that in the majority of cases there was non-understanding, even confusion about serials. As a consequence, in 1983, she submitted an outline of a publication on Basic Serials Management which was endorsed subsequently by the Standing Committee of the Section. Financial assistance was provided by IFLA authorities in October 1984.

In the past years several attempts have been made to find an author in line with the original suggestion of Ross Bourne: a European or North American librarian with experience in developing countries, or a librarian from a developing country with experience in Europe or North America.

After preliminary discussions during 1988 I agreed to assume responsibility for the preparation of the manual in September of the same year.

2 Terms of reference and actual state of work

In order to implement the project successfully I have drawn up the following terms of reference:

1 Decision on the modalities of the execution of the project
   1.1 Committee environment
   1.2 Sole responsibility (In this latter case contact appropriate people for reading the text, advising on the context.)
2 Definition of the realistic objectives of the project with due regard to:
   2.1 the original proposal and the financial means available
   2.2 the varying needs of third world countries (libraries)
   2.3 the objectives and activities of the ALP programme.
3 Proposal on the revised concept of the handbook
4 Outlining the revised structure
5 Definition of a time-table for the accomplishment of the task.

Ad 1) During preliminary discussions I have been informed that the Section was open to ideas on how to proceed with the project, both ways mentioned under 1.1 and 1.2 having been acceptable. However, financial conditions seemed to favor the latter approach: the relatively low budget was anticipated to be enough (years ago!) to cover general administrative costs (such as typing/keyboarding, reproduction of draft copies, postage needs etc.) rather than to support travel. Consequently, any committee approach had to be dropped leaving room only for consultations by mail on professional and linguistic aspects with members of the Standing Committee, just as with third world experts.

Ad 2.1-2): In 1989, having spent considerable time to study the background papers of the project together with several other documents and to search for relevant source material, I submitted to the Standing Committee a proposal aiming at

the modification of the 1983 Outline conceived by Jean Whiffin. My arguments, which were fully adopted by the Committee, can be summarized as follows:

- The Outline dates back to 1983. Since that time considerable changes have taken place both in the policy of supporting third world countries and in the technological assistance they have been offered. Also, a certain rise in the technological level of numerous countries could be witnessed.
- According to UN statistics 77 countries (at present about 110!) were considered to belong to the developing category, 42 of them being LDCs (least developed countries). Amongst these, 13 have been categorized as poorest.
- The 77 countries concerned were in varying stages of development and could not, consequently, be addressed on the same level, i.e., an appropriate way had to be found to assist our colleagues in those countries actually needing such assistance.
- Finally, the proposal included suggestions concerning the completion of the structure of the planned publication (to be handled when presenting its revised concept).

Ad 2.3): The concept, objectives and sphere of interest of the ALP programme are well known. Accordingly, the Programme is supposed on the one hand, to "play a catalytic role for activities relevant to the developing countries, but executed by other IFLA bodies, and on the other hand, have responsibility for a group of special programme areas and activities directly belonging to it".(4) Cooperation and harmonization of efforts are evidently foreseen, especially with regard to ALP's programme area for Education and Training.

3 Project concept

The original concept of 1983 appears still basically valid:
the publication "is to assist non-specialists and beginners, particularly in countries without a national bibliographic agency, or lacking a library school, or having library schools which do not cover serials librarianship in breadth and depth. It is intended as an introduction to serials and to the various types of control systems. It is definitely not [meant] for those who are living in a realm of automation". (Jean Whiffin: Introduction to the Outline)
In the light of what has been said earlier and my own experience of five consecutive missions as Unesco consultant and project director (5) in a LDC, Laos, in South-East Asia, the following supplementary comments apply:

- the manual has to address our colleagues in the least developed countries,
- "headquarters perspective" has to be avoided. The special circumstances prevailing in most of these countries (physical-geographical environment, socio-economic conditions, missing infrastructure, lack of suitable man-power, traditions and cultural factors etc.) have to be kept in mind,
- solutions and documentation offered should not necessarily follow Western patterns but should rather point to international ones (definitions, standards, systems, role and achievements of international organizations and bodies),
- the publication should be, as originally meant, a BASIC outline of serials librarianship, however, with an outlook to future development (small-scale automation and the possibilities it can offer, significance and activities of international databases of relevance to these countries (like ISDS, AGRIS, CARIS), importance of education and training (refresher courses, fellowships etc.)),
- the scope of the manual, as agreed, should not exceed the 100-120 pages and its coverage should be rather broad, than deep.

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4 Outline of the Basic Serials Management Handbook

Note: For the original compiled by J. Whiffin cf. the Annex

Chapter 1 Nature of serials

Importance
Definition of serial and related terms
Identification of serials
Types
Complexities

Chapter 2 The control of serials

Organizational/functional aspects

- Acquisitions control
  - Principles of selection and collection development
  - Procurement of materials (domestic and foreign)
    - sources of acquisition information
    - sources of supply
    - current check-in, backfiles
    - claims
  - Financial control, inventory, statistics
  - Cooperative acquisition

- Bibliographic control
  - Creation of the bibliographic record (6)
    - International standard practices (ISDS, ISBD/S)
    - Minimum data elements
  - Descriptive cataloguing
    - Multinational cataloguing codes (e.g. AACR 2)
  - Subject cataloguing
    - Classification schemes

Catalogues

– types

– maintenance

– (filing rules in Annex)

- Holdings control

Collation

Binding

– simple in-house systems

– commercial binderies

Shelf-list and complementery records

Chapter 3 Collection maintenance and preservation

Storage (open versus closed stacks)

– stock-taking

– weeding

– shelf-reading

– shifting

Cooperative storage

Microforms

Conservation materials and processes

Chapter 4 Servicing

Reading room

Lending of documents

Photocopying service

Circulation of periodicals

Interlibrary loan service

Union catalogues and lists of serials

Chapter 5 International aspects

Importance and role of standards
(list of existing and developing standards in all areas of serials librarianship in Annex)
Role and achievements of international organizations and bodies
– Unesco, IFLA, ISO etc.

Chapter 6 Outlook to the future

Small-scale automation
– automated check-in
– ISDS-OSIRIS as a tool for registration, cataloguing and holdings control
International information systems
– ISDS, AGRIS, CARIS
Importance of education and training
– refresher courses, training workshops, fellowships etc.

Each chapter will include a select reading list and illustrations where appropriate.
Annex 1: Filing rules
Annex 2: List of standards

5 Time-table for accomplishment of task

Conclusion of 1st draft: Spring, 1993
Circulation to professionals: June-July, 1993
Discussion of findings: during IFLA General Conf., Barcelona, August, 1993
Conclusion of definitive draft, camera-ready copy: March, 1994

Budapest, June 1992
J. Szilvássy

References

(1) The IFLA ALP programme (advancement of librarianship in developing countries): a bibliography 1966-1990 / prepared by Eve Johansson for the ALP study. - The Hague : IFLA Headquarters, 1991. - ISBN 90-70916-31
Draft 1988.

(2) IFLA and the Third World. - The Hague : IFLA Headquarters, 1987.

(3) International Serials Data System, Paris

(4) The ALP programme : IFLA's Core Programme for the advancement of librarianship in the Third World. - The Hague :IFLA Headquarters, 1991.

(5) République Démocratique Populaire Lao : Centre national de documentation et d'information scientifique et technique : résultats et recommendations du projet. - Paris : Unesco : UNDP, 1988. - Rapport final : PNUD/LAO/81/015

(6) Bibliographic standards : an international perspective / paper given by Judith Szilvassy at the UK Library Association Annual Conference. Leeds, 1991. - 23 p., Annexes

BASIC SERIALS MANAGEMENT

Outline

Chapter 1 - Nature of serials

Importance of serials
Types
Complexities
Administration

This chapter should be illustrated with covers, TPs, mastheads, etc., and show not only types, but unique titles, identical titles, author/titles, etc.

Chapter 2 - Acquisition

Principles of selection and collection development
Effective procurement of materials - (a) samples, current orders, backfiles, claims
(b) sources of supply
(c) sources of acquisition information
Financial control
Co-operative acquisition

Chapters 3-5 - Types of control systems and their relationships

3 - Holdings control

Collation
Records
In-house systems: current check-in
central serials records
Union catalogues and lists

This chapter should be illustrated with copies of good quality manual holdings records, completed to show all needed detail to be recorded.

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4 - Bibliographic control

Major problems
Sources of cataloguing copy
Minimum data elements
First/latest/successive-entry cataloguing
Classification schemes
Subject approach

5 - Content control

Current awareness services: local
commercial
Indexing and abstracting services

Chapter 6 - Shelving

Preparation
Open versus closed stacks

Chapter 7 - Collection maintenance and preservation

Storage
Original versus microform
Binding:- Records: in-house
in commercial bindery
Simple in-house systems
Commercial binderies
Library/binder relations
Conservation materials and processes

Chapter 8 - Disposal

Duplicates
Withdrawals
Co-operative storage and preservation programmes

Chapter 9 - Standards

A brief introduction to existing and developing standards in all areas of serials librarianship.

Each chapter should include a select reading list at the end as an indication of where to find in-depth treatment of the topics covered therin.

JW
1983

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